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ABSTRACT

This collection of readings on secondary school principalship consists of selected articles published in the NASSP Bulletin from 1980 to 1985. The book is divided into eight topical chapters, each consisting of articles by different authors. The introductory chapter consists of five articles that focus on the role of the secondary school principal, discussing general competencies required for the position and providing advice for new principals. Chapter 2 consists of five articles addressing leadership styles, characteristics, and responsibilities. Chapter 3 consists of five articles on personnel administration, including advice on teacher recruitment, teacher evaluation, and staff development. Chapter 4 focuses on instructional leadership, while chapter 5 concerns noninstructional leadership, addressing such issues as emergency preparedness, combatting vandalism, and school financing. The final three chapters focus on the role of the principal in student personnel services (five articles), the principal as a community relations specialist (three articles), and being an effective secondary school principal (five articles). (TE)

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THE BEST OF THE NASSP

BULLETIN

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The Best of the NASSP Bulletin:

Readings in Secondary School Administration

Edited by
Leonard O. Pellicer
and
Kenneth R. Stevenson

National Association of Secondary School Principals

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ISBN: 0-88210-168-4

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Introduction

The first issue of what was the forerunner of today's *NASSP Bulletin* was published in 1917, under the title *First Yearbook of the National Association of Secondary School Principals*. In 87 pages, it provided listings of the officers of the Association for 1916-17 and 1917-18, a membership roster, the proceedings of the first annual meeting, and a brief history and constitution of the Association.

Yearbooks were published annually, and contained much the same information until 1926, when volume 10 was titled the *National Association of Secondary-School Principals Bulletin*. The *Bulletin* was published four times a year with the contents consisting mostly of abstracts of books about secondary school administration except for a single issue called the *Yearbook*, which was devoted to the same material contained in the first nine yearbooks.

This same basic format, except for an increase in the number of issues from four to five, remained in place until 1938, when issues were published monthly from October to May. The contents of the journal took on the general appearance of today's *Bulletin*, with articles on various topics and a few departments. The devoting of a single issue to the proceedings of the annual convention continued until 1978, and it was in 1955 that the number of issues per year was increased to nine, today's number.

The *NASSP Bulletin* is written by and for the practitioner. Several national studies indicate that the *Bulletin* is by far the most widely read educational journal among secondary school administrators. Principals also enjoy the greatest acceptance rate among any group submitting articles to the *Bulletin* for publication.

There are no doubt numerous reasons for the popularity of the *Bulletin* among secondary school administrators. It is, after all, the official journal of the National Association of Secondary School Principals, and association membership includes the price of a subscription.

More important, however, is the substance of the *Bulletin*. It is a "how to" manual, an idea book for principals, as opposed to other journals which are heavily laced with research studies and theoretical postulates.

For more than a half century the *Bulletin* has helped secondary school administrators do a better job in their schools. Its easy to read format and practical content are just what the doctor ordered for the often harried and idea starved secondary

principal. If the truth were known, this journal has probably been responsible for fostering more positive change in the secondary schools of America than any other single written source.

This collection of readings in the secondary school principalship is intended to be of assistance to both those who practice the principalship and those who want to learn more about it. This book should be particularly useful to students in introductory administration courses as a companion to the traditional text.

The articles selected for inclusion are presented under eight topics: the role of the secondary school principal; leadership: styles, characteristics, and responsibilities; personnel administration; instructional leadership; non-instructional leadership; student personnel services; community relations; and the effective principal. These topics comprise the major task areas of the principalship and are usually addressed by writers of textbooks on the principalship or those who teach courses in the principalship.

All of the articles appearing in this book, with the exception of one, have been published in the *NASSP Bulletin* during the period 1980-1985. The articles were selected to provide the reader with a balanced view of the duties and responsibilities of the principalship. As might be expected, there was an abundance of articles in some areas and a dearth of articles in others. However, we have done our best to select those that were most suited to our purposes—to assist the practitioner and help the novice learn more about the principalship.

We will end this introduction with a heartfelt thanks to all of you who write for the *Bulletin* and a plea to those of you who don't to please share your ideas in the future. Thanks are also due to the excellent editorial staff at NASSP, especially Tom Koerner and Carol Bruce for their help and assistance in preparing this volume and to Sharon Ray, the very talented doctoral student who played a key role in sorting and selecting the articles.

Leonard O. Pellicer

Kenneth R. Stevenson

1. The Role of the Secondary School Principal

In his 1915 book, *The American High School*, John Franklin Brown declared that the position of principal was both "ancient and honorable." Listed among the qualities that a good principal should possess were leadership, as demonstrated by his ability to organize and manage people; knowledge; self-confidence; common sense; understanding of human nature; and a personality that reflected honesty, wisdom, and sympathy.

Brown's perceptions of the principalship as "ancient and honorable" were certainly not shared by all his contemporaries. Based on a study of school board policies in 30 large cities, Boggs (1920) concluded that principals were not officers of "professional supervision," but rather "odd-job" and "clerical workers." The job of the principal as Boggs saw it was "to keep the machinery well-oiled and smoothly running while other people perform the higher professional functions."

In many ways, the role of the secondary school principal today remains as much an enigma as ever. Despite efforts to understand the principalship better through intense study, the true essence of the role may still elude us all. Although Brown's formula for the successful principal in 1915 is still relevant for his modern counterpart, the position has grown increasingly complex.

In this section various writers offer their perceptions on the role of the secondary principal in the 1980s—the skills, knowledge, and abilities required to fill the role—and suggest how to get off on the right foot as a new principal.

The principalship is more than a job—it is a noble call, a stewardship that requires the principal to "strive constantly to enhance others, to enlarge their areas of responsibility to ask them to do more." The basic message Lamb and Thomas offer beginning principals is that they must minister to others if they are to succeed in the principalship. Included in this message is a warning that ministering is personally and professionally demanding and therefore, principals must aggressively seek self-renewal.

Lyons conducted a survey of superintendents and principals to try to determine the competencies that were needed by secondary principals and the level of proficiency required in each competency. The results of his survey were quite interest-

ing. Superintendents and principals generally agreed on the competencies secondary principals should possess and the necessary levels of proficiency. An intriguing paradox revealed in the study was that respondents felt attainment of most competencies should occur prior to assuming the principalship, while the best place to attain the great majority of the competencies was on the job. The findings of this study certainly have implications for the preservice and inservice education of secondary principals.

English, Francis, and Schmunk paint a bleak picture of the principal's role as a middle manager. The authors describe the difficulties associated with implementing the decisions of top-level management when policies are unclear and the policy development process excludes middle managers. The article concludes with some thought-provoking recommendations to resolve role ambiguity, improve trust relationships between policymakers and those who implement policy, and preserve the integrity of middle managers.

The first days and weeks on the job can be filled with uncertainty and anxiety for the new principal. With so many responsibilities demanding attention, it is difficult to know where to turn or what to do first. Seifert offers advice to beginning principals or experienced principals who have taken a new position. In his 10 steps to success, he provides common sense advice on what to do and how to do it. McIntyre shares her 5-step approach to ensure success in a new principalship. Their advice should go a long way toward preventing that opening day disaster all new principals fear.

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Boggs, J. "School Board Regulations Concerning the Elementary School Principal." *Elementary School Journal*, June 1920, pp. 730-742.

Brown, J. F. *The American High School*. New York: The Macmillan Co., 1915.

Advice for Beginners

The Principalship—The Calling and Its Requirements

"If we could write a letter to every person entering a first principalship," say these writers, "what follows is what we would write. It is for the most part what we have learned from experience, and from the advice given to us by the 'elders' of the profession."

By Ronald Lamb and Donald Thomas

When we accepted our positions, we inherited jobs with many responsibilities. Some of these we understood and some we realized only after working here for a while. Some of these seem normal and expected, while some may seem to be "above and beyond the call of duty."

We have accepted the job, however, and this means the whole job. If we could accept it in the spirit of the biblical stewardship, we would be well on our way to being successful. The steward was given a responsibility and was commended if he not only took care of that which was entrusted to him, but if he also increased and strengthened it. We should put our wholehearted effort into doing an outstanding job. We should be generous with the time we spend and should not let our salary control the willingness with which we do our work.

Inherent in the word "administration" is the word "minister." No other responsibility is more important than to minister to others: to counsel, to motivate, to listen, to nurture, to enhance, to criticize constructively, to sympathize, and to support in time of need.

Ronald Lamb is principal, Washington Elementary School, Salt Lake City, Utah, where Donald Thomas is superintendent of schools. Both have an interest in the education of future administrators.

NASSP Bulletin, January 1984, pp. 20-25

This is especially true with close associates, those who are often taken for granted or ignored. The principal should strive constantly to enhance others, to enlarge their areas of responsibility, to ask them to do more.

The principal should strive constantly to enhance others, to enlarge their areas of responsibility, to ask them to do more.

The principal ministers to others by encouraging them to discover new talents and to make a larger contribution to the school district. Most people have abilities, ideas, and talents which frequently are not utilized or even known. Most men and women can contribute more when challenged to do so. Principals can provide them with the opportunities to do so.

To minister implies that one will help when needed, that one will provide emotional support when asked, and that one will "pray" with others if necessary. Ministration is the act of giving, of helping, of caring, of serving others. More than any other quality, schools need leaders who care for each other, who are honest with each other, and who (as in the old days) love the kids and appreciate the teachers.

We need men and women in our schools who see themselves for what they really are—public servants. Some schools have not yet lost the concept of public service; they still see themselves as a community of scholars, struggling to acquire knowledge and to discover truth. In such schools teachers, principals, students, and parents care for each other, help each other, and believe that each can make a valuable contribution to the success of the school. Public service is embodied in the term, "public schools."

Lest there be some misunderstanding, caring for one another is not a permissive attitude; it does not lead to a breakdown of discipline. It may appear, to some, to be weak sentimentality, leading to a void in educational leadership. Some may claim that it eliminates the "psychic distance" so universally favored by students of leadership in the early part of this century.

The truth of the matter is that the ability to minister strengthens leadership, enhances relationships, motivates toward higher achievement, and clarifies one's responsibilities. One who cares for others does not tolerate mediocrity; one expects excellence from oneself, from one's colleagues, and from students. One serves best by encouraging talent and expecting quality from others in all that is done. To care is to expect excellence.

More than any other quality, schools need leaders who care for each other, who are honest with each other, and who (as in the old days) love the kids and appreciate the teachers.

One who ministers does not make others dependent; rather, one strives to make others independent of leaders. The authenticity of individuals is more im-

portant than control. Self-determination is essential if one is to make a maximum contribution to a school or school district. Further, it is not enough for us to achieve high test scores, a 4.0 grade average, or 700 on the ACT. We must also develop human characteristics that cannot be measured. We need motivation, commitment, dedication, responsibility.

One who cares for others does not tolerate mediocrity; one expects excellence from oneself, from one's colleagues, and from students.

We have not yet discovered an adequate substitute for desire, for initiative, for the quest to learn. Mind and spirit must still be woven together.

To minister also implies that one is a diplomat. We must remember that school principals are government employees. It is not easy to represent our government, but that is what we are—diplomats representing our nation. As diplomats, we must conduct the affairs of state in public view, in the purifying light of public opinion. We do not have the prerogatives of private organizations. We are accountable to the people—in the tradition of Jefferson and Lincoln.

Ministers of state are expected to be models of civility, courtesy, and honor. Not that principals should be prudish or standoffish; they must, however, be as just and fair as is humanly possible, exhibiting behaviors which promote collaboration, rationality, and humane relationships.

Our first point, then, is that we should always remember the concept "to minister" in administration. Principals should care for others, should minister to them, should be moderate in their personal habits, remembering that they are representatives of our nation with power to change the image of the ugly American.

Our second point is to have you consider the following six items as you prepare to sit at the principal's desk. They will go a long way in making your life successful and satisfying, challenging and fulfilling.

1. *Commitment*. The appropriate attitude, it seems to us as we consider our jobs, is to say to ourselves, "I have been given a responsibility which I accept fully and wholeheartedly. I will try to do it well. I will be a continual learner so that I can perform better and more efficiently. I will seek to satisfy the needs which others have of me and which the job requires. I am committed to this position for the period in which I occupy it."
2. *Balance*. Our work is only one part of our lives, and other phases need our attention too. It would be wrong to neglect our families, ourselves, or church and civic responsibilities in order to do our work. It would also be wrong to be so intent upon performing our work that we fail to see and respond to the people with whom we work. It would seem to us that we need to give quality work in our employment and balance this with many other facets in our lives. Balance will make it possible for us to do well in each area: home, work, and social responsibilities.
3. *Organization*. This is imperative to our success. We must think and plan our own work and the work of those we supervise. In order to do this, we need to know the

total job, what is expected, those aspects which are most important, the way our work fits with others. We must have organized, both on paper and in our mind, what it is we need to do and who will do it as well as how well the work should be done.

4. *Anticipation.* Some people are surprised by situations that pop up in their work, while others are able to see them coming and plan for them. Experience helps a great deal, and during the first few months we may frequently need to say to ourselves: "Next time I will be prepared and do it this way." It is well to keep in mind that one of the distinguishing characteristics of a successful principal is his or her ability to anticipate and cope with all phases of the job.
5. *Delegation.* Since our work is bigger than we can do alone, we need to become skilled at delegation and follow through. Through the organizational plan we make, the outline of the delegation is given. In assigning the work to an individual, you should be very clear as to what the particular work involves. You should then check back to see that this is done. I have found one principle to be helpful: assign the task, but allow others as much latitude as possible in how it is to be done.
6. *Limited Resources.* It will soon become apparent to the new principal that there are many more requests for money than you have available. Therefore, choices must be made. It is necessary that wise choices be made and that you counsel with others in making such choices. It is not necessary that you make all the hard decisions. Your staff is a capable one. Teachers are willing and able to help you allocate resources. Forge a partnership with them. It will be a partnership that will serve you well.

Our third point is that administrators are in a constant struggle to find time for self-renewal. Regardless of the demands, one must aggressively engage in renewal activities: conferences, recreation, family activities, worship, hobbies, study, and new experiences. Renewal is a personal matter. It does, however, include proper balance between work and family, stress and recreation, demands and leisure.

Renewal requires a great deal of personal effort and concentrated planning. Renewal does not occur without deliberate attention, nor is it ever completed.

Unfortunately, most professional organizations concentrate on job-related activities: negotiations, budgets, community relations, curriculum development, federal regulations, etc. Personal renewal is an examination of oneself.

One of the ways to participate in self-renewal is to form a collegial team that meets on a regular basis. The members talk frankly with each other and assist each other in solving professional and personal problems. It usually takes about one year for the team to grow into a warm collegial relationship.

Self-renewal makes it possible for principals to remain positive about themselves and their work. With renewal one is not overwhelmed by "the job" or "the problem." Renewal helps one to develop these traits:

1. The ability to understand that people have more powers and capabilities than they ever use.
2. The ability to see the big picture and not to be overwhelmed by single events.
3. The ability to control time and use it constructively.
4. The ability to set goals and to measure their achievement, thus receiving satisfaction.

5. The ability to negotiate with the circumstances of life.
6. The ability to accept stress, pressure, and momentary insecurity and to discuss them openly.
7. The ability to communicate freely with oneself and with others.
8. The ability to control one's level of motivation and to consciously direct it.

The principalship requires stamina, knowledge, desire, and creativity. Such traits cannot be maintained without periods of rest and renewal.

The principalship requires stamina, knowledge, desire, and creativity. Such traits cannot be maintained without periods of rest and renewal. Each year must provide increased understanding of the purposes of education, greater knowledge of one's abilities, and heightened sensitivity to a balanced life. This can only be acquired through deliberate efforts for personal renewal.

We do not wish to promote gurus or mystics, but there is something of value about personal initiative in directing one's life. Controlling one's attitude about self and personal abilities is an asset. There are a few silver nuggets in books about "positive thinking." Principals may find worthwhile advice in *How to Be Your Own Best Friend* by Mildred Newman and Bernard Bukowitz. A sense of personal control over the mysteries of living is good for the soul and helpful during stressful times.

Renewal is a very personal responsibility. It is a determined attitude to remain current, to understand change, and to control the direction of one's life. Renewal looks at change as a friend to be hosted and treated with affection. Renewal is the passage from one age to another. It is our hope, our salvation, our means to a full, rich, and satisfying personal and work experience.

Young principals should establish this habit early. They should seek out opportunities for personal renewal and negotiate them in their contracts if possible. One cannot minister to others without also ministering to oneself. Therefore, the quest for renewal, the constant struggle to keep alert, should be considered a major priority for school principals.

The young principal should be a student of the law, especially in the areas of due process, discrimination, and rights and responsibilities. Our laws are the basis for a just society. Knowledge of the laws helps one to make fair decisions, alerts one to just positions, and confines one to the limits of what ought to be done.

Principals must respect themselves, their interests, their abilities, their health, and their purposes.

Principals must respect themselves, their interests, their abilities, their health, and their purposes. They must have a positive view of themselves and of human existence. They have chosen to be in education because they believe that people can change, that men and

women can grow. They appreciate the constant struggle to understand themselves.

The challenge for school principals can be achieved if principals remember that administration is primarily embodied in the term "to minister," if each who aspires to administration struggles daily for personal renewal, and if all of us, in a strong union of men and women, exemplify justice, fairness, and equity in our own acts, decisions, and recommendations. It is a giant task, a noble call; but one that has always been matched by able men and women. History gives us comfort in knowing that the schools of this nation are in good hands, because they are in the hands of good principals.

Competencies Needed by Beginning Secondary School Principals

James E. Lyons

This article summarizes the findings of a study to determine the competencies needed by a beginning secondary school principal as perceived by experienced principals and superintendents.

The new secondary school principal is confronted by an often overwhelming myriad of responsibilities, demands, pressures, and expectations. Some come from the various groups and individuals with whom the principal must work, but many others simply come with the position.

After determining that little empirical research existed, the author surveyed a random sample of experienced principals and superintendents in a southeastern state to ascertain the competencies they perceived were needed by a prospective principal. In addition, we sought: to determine the level of proficiency the respondents perceived to be needed by a prospective principal in the competencies they identified; and to identify the most feasible time in training for the principalship to develop these competencies.

Proficiency Classification

Using the proficiency classification component of the model de-

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NASSP Bulletin, September 1981, pp. 59-66.

veloped by Lloyd E. McCleary and Kenneth E. McIntyre,[1] respondents were asked to indicate whether a new secondary principal needed to possess various competencies at the application level, understanding level, or familiarity level. They also had the option to indicate if a competency was not needed. The levels of proficiency were placed on a continuum ordered from the "application" level to "not needed." These levels of proficiency are explained below:

Application Level—A prospective principal would be able to apply/demonstrate a competency

Understanding Level—A prospective principal has conceptual knowledge and comprehension of a competency and how it should be performed, though he may or may not possess the technical skills needed to demonstrate the competency

Familiarity Level—A prospective principal is knowledgeable of a competency as a result of reading, lectures, discussions, or passively observing it carried out by others, though he cannot demonstrate it

Not Needed—A prospective principal does not need to possess or be knowledgeable of a competency

Respondents were asked to indicate the most feasible time for each competency to be acquired by a prospective secondary principal. The three choices were: preservice coursework, preservice internship, and experience in the position. This component of the research instrument was based on the research done by Gail B. Conley at Northern Illinois University.[2]

The competency statements used in the questionnaire were based on the research done by Cook and Van Otten at the University of Utah.[3] These were carefully developed by a panel of professors, graduate students, superintendents, secondary principals, and secondary teachers in Utah and Colorado. They have been considered by several subsequent researchers to be the basic competencies needed to successfully fulfill the administrative tasks and responsibilities of the secondary principalship.

The data revealed that all the competencies included in the research instrument were perceived as being needed by a beginning secondary principal; no statement was regarded by a significant number of respondents as not needed.

The competencies, according to the perceived levels of proficiency, follow.

Application Level

- Work with the school board, superintendent, and staff personnel in

1. Lloyd E. McCleary and Kenneth E. McIntyre, "Competency Development and University Methodology," *NASSP Bulletin*, March 1972, pp. 53-59.

2. Gail B. Conley, "A Study of Administrative Competencies for Beginning School Principals in Northern Illinois," (Doctoral Dissertation, Northern Illinois University, 1976).

3. Halsey H. Cook, Jr. and Kenneth P. Van Otten, "A Study of the Prime Competencies Required To Perform the Tasks of the Secondary School Principalship," (Doctoral Dissertation, University of Utah, 1972).

the establishment, coordination, interpretation, and enforcement of school district policies.
- Consult with district personnel on educational and organizational matters.
- Organize, supervise, and manage the business affairs of the school.
- Make resources (supplies, money, equipment, etc.) available to the staff.
- Utilize resources and money to provide the educational program in the school.
- Establish a public relations program with the community (parents, teachers, staff, and students).
- Communicate with school patrons.
- Mediate disputes between parents, teachers, other staff, and students.
- Identify the community forces which affect the operation of the school and the implications of those forces.
- Utilize counseling techniques and provide a guidance program for students.*
- Establish methods for reporting pupil progress.
- Communicate with students concerning all aspects of their school life.
- Organize, coordinate, and administer the total activities program.
- Maintain a program of spectator control at all school activities.
- Establish attendance accounting procedures.
- Establish student control and disciplinary procedures with the assistance of parents, teachers, and students.
- Organize and manage a school program which implements the school philosophy.
- Schedule the school academic program.
- Manage the school plant and facilities.
- Operate the school within the framework of the law.
- Organize and manage auxiliary services (cafeteria, transportation, health, and safety).
- Develop and improve the staff by attracting and retaining competent personnel.
- Organize, coordinate, and supervise staff assignments.
- Assist, advise, counsel, and provide guidance to the staff in their personal and school problems.
- Identify the needs and interests of the entire school staff.
- Foster and maintain staff morale.
- Evaluate school personnel.
- Keep teachers abreast of current educational improvements.
- Encourage teachers to practice creative and innovative techniques.
- Plan and evaluate the instructional and curricular programs with the assistance of parents, teachers, and students.
- Assess program needs involving teachers, parents, and students.
- Provide curricular and instructional leadership.

*A tie caused this competency also to be included in the *understanding* level of proficiency.

- Supervise and coordinate educational programs and experiences.
- Initiate long-range planning procedures involving parents, teachers, and students.

Understanding Level

- Utilize counseling techniques and provide a guidance program for students.
- Encourage students to participate in developing and implementing student programs.
- Advocate the student when appropriate.
- Evaluate the student activities program.
- Maintain participation standards for student activity programs.
- Evaluate auxiliary services.
- Employ professional research techniques and findings in the solution of educational problems.
- Initiate and encourage professional research.

Familiarity Level

- Serve as liaison between the school, the district, and the state.

In summary, the respondent groups suggested that 35 of the competencies be acquired at the application level of proficiency, eight be acquired at the understanding level of proficiency, and that one be acquired at the familiarity level of proficiency. The respondents also indicated that a prospective secondary principal should be able to apply the majority of these competencies prior to accepting the initial position.

Respondent opinions about the most feasible times for a beginning secondary principal to acquire the competencies listed are outlined below.

Preservice Coursework

- Organize, supervise, and manage the business affairs of the school.
- Establish a public relations program with the community (parents, teachers, staff, and students).
- Utilize counseling techniques and provide a guidance program for students.
- Establish methods for reporting pupil progress.
- Establish attendance accounting procedures.
- Schedule the school academic program.
- Operate the school within the framework of the law.
- Evaluate school personnel.
- Provide curricular and instructional leadership.*
- Employ professional research techniques and findings in the solution of educational problems.

Internship

- Work with the school board, superintendent, and staff personnel in the establishment, coordina-

*A tie caused this competency also to be listed under *experience in position.*

tion, interpretation, and enforcement of school district policies.
- Manage the school plant and facilities.
- Organize and manage auxiliary services (cafeteria, transportation, health, and safety).

Experience in Position

- Consult with district staff personnel on educational and organizational matters.
- Serve as liaison between the school, the district, and the state.
- Make resources (supplies, money, equipment, etc.) available to the staff.
- Utilize resources and money to provide the educational program in the school.
- Communicate with school patrons.
- Mediate disputes between parents, teachers, staff, and students.
- Identify the community forces which affect the operation of the school and the implications of those forces.
- Encourage students to participate in developing and implementing student programs.
- Advocate the student when appropriate.
- Communicate with students concerning all aspects of their school life.
- Organize, coordinate, and administer the total activities program.
- Maintain participation standards for student activity programs.
- Maintain a program of spectator control at all school activities.
- Establish student control and disciplinary procedures with the assistance of parents, teachers, and students.
- Organize and manage a school program which implements the school philosophy.
- Evaluate auxiliary services.
- Develop and improve the staff by attracting and retaining competent personnel.
- Organize, coordinate, and supervise staff assignments.
- Assist, advise, counsel, and provide guidance to the staff in their personal and school problems.
- Identify the needs and interests of the entire school staff.
- Foster and maintain staff morale.
- Keep teachers abreast of current educational improvements.
- Encourage teachers to practice creative and innovative techniques.
- Involve the school staff in developing educational goals and objectives.
- Plan and evaluate the instructional and curricular programs with the assistance of parents, teachers, and students.
- Provide curricular and instructional leadership.
- Supervise and coordinate educational programs and experiences.
- Initiate long-range planning procedures involving parents, teachers, and students.
- Initiate and encourage professional research.

In Summary

In summary, the above classification shows that the respondents be-

lieve that the majority (31) of the competencies could best be acquired through experience in the position, three during the internship, and 10 during preservice coursework. This supports the contention of Merrow, Foster, and Estes[4] that rarely does professional training actually prepare people for the job; they learn on the job itself.

The results of this survey proved to be quite interesting and revealing. Superintendents and experienced principals generally agreed on the competencies that prospective secondary school principals should possess. Also, the two groups generally agreed on the most feasible time for acquiring these competencies. However, when the data were examined from a broader perspective, the responses appeared to be somewhat contradictory.

Both respondent groups indicated that 80 percent of the competencies should be acquired at the application level of proficiency. As defined in the study, the application level would imply that a prospective secondary principal should be able to apply and/or demonstrate the ability to perform the majority (80 percent) of the competencies prior to accepting a position. On the other hand, when indicating the most feasible time for acquiring competencies, both groups of respondents indicated that the majority (70 percent) of the competencies could best be acquired during experience in the position rather than during preservice coursework or during a preservice internship. The apparent contradiction stems from the fact that the respondents indicated that a prospective secondary principal should be able to apply most of the competencies prior to accepting a position; yet they indicated that the competencies could best be acquired through experience in the position rather than through preservice preparation, including coursework and internships.

It is interesting that neither of the respondent groups viewed preservice coursework or the preservice internship as a viable means for a prospective secondary principal to acquire the competencies needed in the position. Similarly, in Volume II of the report on *The Senior High School Principalship*, Gorton and McIntyre found, in an in-depth study of 60 effective high school principals, a general perception that preservice programs gave insufficient attention to important and critical areas such as program evaluation, program development, school/community communications, time management, and human relations skills.[5]

Based upon the findings from this investigation, one might hypothesize

4. John Merrow, Richard Foster, and Nolan Estes, "A White Paper on the Preparation of School Administrators," *The Elementary Principal*, July-August 1974, pp. 8-18.

5. Richard A. Gorton and Kenneth E. McIntyre, *The Senior High School Principalship*, Vol. II: *The Effective Principal* (Reston, Va.: National Association of Secondary School Principals, 1978) pp. 62-63.

that there is a grave difference of opinion between practitioners and professors. This is predicated on the assumption that professors of educational administration would probably feel that a greater number of competencies could be acquired during preservice programs than the practitioners indicated in this study. It should be noted, however, that this is only conjecture as information was not generated in this investigation that would confirm this as a finding.

The data do not indicate the specific reasons why the respondents felt that most of the competencies needed by beginning secondary principals should be acquired through experience in the position. However, as all of the respondents are practicing administrators, one might suspect that they would favor a field-based, more practical approach for acquiring the competencies rather than coursework or an internship. Also, since most of the respondents in both groups have been administrators a relatively long time, it may be concluded that most of them went through preparation and certification programs a significant number of years ago. Thus, the respondents might not be knowledgeable about current preparation programs.

The fact that many of the teaching methodologies such as simulations, field studies, case studies, role playing, in-basket exercises, gaming, and computer-assisted instruction have recently been introduced into preparation programs lends supports to this premise. In addition, it is possible that these practicing administrators might overestimate the part colleges and universities should play in the preparation of school principals.

While all of these conjectures may have influenced the respondents' perceptions, our data only allowed us to conclude that the respondents perceived experience on the job as a more viable means of developing the competencies than preservice coursework and internships.

By the same token, the respondents may be correct in their perceptions that preservice coursework and internships, as conducted at many colleges and universities, are not viable means for a prospective principal to develop the competencies needed in the position. McCleary and Thomson, in *The Summary Report* (1979) on *The Senior High School Principalship*, note that "the education . . . of principals today is uncoordinated perhaps even casual . . . there is a wide variety in professional courses for the principalship.[6]

Conclusion

Based upon the findings of this study, the findings of similar studies, and the perceptions of many authorities who have examined competencies needed in the principalship, there is still much work to be done if preparation programs are to prepare individuals to meet the challenges of

6. Lloyd E. McCleary and Scott D. Thomson, *The Senior High School Principalship*, Vol. III: *The Summary Report*, (Reston, Va.: National Association of Secondary School Principals, 1979), p. 55.

the position. It is imperative that professors of educational administration and practicing administrators work in concert to develop programs, internships, and other experiences that will equip prospective principals with the competencies and skills needed in the position.

The Dilemma of Being in the Middle: A Contemporary View Of the Principalship

Fenwick W. English
Samuel Francis
James Schmunk

Principals already have an especially difficult role as frontline administrators; the difficulties, however, are sometimes exacerbated because of the middle positions in which they find themselves. This article summarizes a study of the concerns of middle management.

The primary responsibility of educational middle management, as with middle management anywhere, is to implement the decisions of top-level managers.

Middle managers, however, do not have the same latitude of choice as do top-level managers. Perhaps more than any group in school administration, middle managers are dependent upon clarity of policy and consistency of policy development.

Principals participating in this project stated that they were often unsure of where they stood on interpretation of policies or decisions; that they were not always supported when they made decisions; and that

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they were not involved in the development of decisions they were expected to carry out. They also noted that even when all of the above conditions were met exceptions were created by those currying board favors or by superintendents overly concerned with reelection to office rather than ensuring consistent policy implementation.

Disrespect and Hostility

It was a rare middle manager who did not report perceptions that board members and some superintendents viewed them with attitudes ranging from suspicion to downright antagonism. They reported feeling excluded and demeaned, and said they were placed in the most unfavorable position of any group in the school systems. Most indicated that the concept of the "management team" was not working, that it was used only as a slogan to keep principals' salaries compressed and as an excuse not to treat middle managers fairly or at least equitably with other unionized groups in the school districts.

Some principals even recounted having been told bluntly by some board members that they were "the only group the board could really control." If board treatment of them is worse than treatment of those groups "not loyal," the board hardly encourages principals to "remain loyal." Top management demonstrates for all to see that if they could "control" the remainder of the groups as they do middle management, they would receive considerably worse treatment than those who were not so controlled. The value of collective action is therefore underscored by boards as the only vehicle open to employee groups to receive equitable treatment.

Performance and Pay

Principals reported that for the most part many operated without benefit of a formal contract or salary schedule. Some did not know how their salaries were computed. Others reported that they could not get clarification of their fringe benefits or that some such benefits had been abruptly changed with the arrival of a new superintendent or a change in board membership.

The panel's perception on the matter of performance and pay was that in too many cases the procedures for allocating pay to performance were not clear to those involved. Further, they suspected that the informal mechanisms for determining actual salary were not related to job performance, but rather to "telephone evaluation" by board members on the basis of isolated complaints by patrons.

It is understandable that principals felt unduly victimized and vulnerable in these circumstances (merit increases were viewed as divisive and as contributing to low morale) and flatly stated they preferred the traditional salary schedule as a better mechanism than living within the constraints they had experienced in some of their school districts.

Recommendations

The review panel's recommendations were based on the firm convictions that middle managers should enjoy commensurate privileges as others on the professional staff and should not be unduly vulnerable in the day-to-day operations of their jobs to interference, pressure, or favortism; that middle managers should be held accountable for clear job responsibilities, evaluated on open and public criteria that relate to job performance; that these criteria should be clearly communicated to those involved; and that unionization of middle management presents an obstacle in administering the schools to elected boards of education by having to negotiate the duties of the board to carry out its own policies for which it was elected by the people. However, undesirable working conditions for principals will lead to their unionization and decreased board effectiveness.

Recommendation 1: Resolve Job Ambiguity by Providing Improved Role Stability

The image of school boards and of board members as individuals was very poor among the principals. Boards were perceived as adversaries mainly because principals were judged and evaluated by board members on hearsay, gossip, rumors, and complaint calls from irate parents. Board members were viewed as being biased and punitive. Retaliation was the fear of most administrators, who were second-guessed and interfered with in the daily operation of the school.

To help clarify this situation it was recommended that boards and superintendents:

- Define, refine, and periodically update the job responsibilities of middle management in board policy and regulation. Such policies should also state the method of salary remuneration, the criteria for remuneration, and the fringe benefits available to middle management.
- Enforce the general procedure of working through the "chain of command" in handling parental or citizen complaints about staff or administrators by adopting a policy which requires it, and by working with board members to understand how to make it work and what the consequences are of not using such a policy.
- Remove board members from directly evaluating principals in "merit" type salary plans/procedures. This is the responsibility of the superintendent.
- Consider placing middle managers on multi-year contracts in which their performance is related to specific job-related and program objectives. This provides job stability at the same time as building in a performance base for evaluation.
- Require the involvement of principals in the selection of staff to ensure accountability for subsequent staff performance. The principal's recommendation should

carry a very high priority for initial hiring of staff and be overruled only by the superintendent and only for sufficient cause.

- The term "middle management" should be discarded and a new term adopted. To the participants middle management means "persons in the middle" and as such "we get it from both sides."

Recommendation 2: Improve Board/ Middle Management Working Relationships and Trust by Providing Regular Meetings Between Them

Principals viewed their authority as being constantly and continuously eroded by collective bargaining, student rights, board interference when responding to calls from parents, and board policies adopted without input from principals especially when the policy impacted the principal in the building.

The review panel recommended that the board:

- Schedule regular meetings between the board of education and middle management to review school programs, to provide a dialog on critical issues, and to permit and encourage discussion regarding working conditions and salary.
- Implement a procedure for systematically involving middle management on matters of policy. The procedure should solicit suggestions from them prior to any implementation of policy.
- Schedule social events at which board, superintendent, and middle management could develop a personal relationship without necessarily having a formal agenda for each occasion.

Recommendation 3: Clarify Criteria for Using Variable Salary Models and Preserve the Integrity and Independence of Educational Middle Management

Variable salary models are those which utilize some form of criteria by which salary is based upon an assessment of performance. As performance varies so does the total amount of the compensation. This approach, however, can cause many problems, not the least of which is the ambiguity of the criteria and the arbitrarily imposed fiscal constraints which negate its positive impact.

A variable salary approach used improperly detracts from performance and does not motivate high performance. Furthermore it brings too many unrelated performance based factors into the picture and makes the professional too dependent on his or her boss(es) for compensation. It is in the best interests of the public not to have its professional staff too dependent upon public favor. When necessary or unpopular recommendations must be made, the public must know that their professionals will not hesitate to make them.

The panel believed that the following actions were required to address the problems related to salary.

- Disconnect variable salary model approaches from being dependent upon fund availability. This will indicate to the staff that performance is what is desired and that

no arbitrary limitations on performance are established at the outset. If funds are not available or budgeted so that it is theoretically possible for all administrators to earn the "top" rating and compensation, consideration should be given to dropping the approach for a standard salary schedule with some indirect incentives (travel, sabbaticals, etc.).

- Clarify criteria, approaches, procedures, and evaluation methods necessary to effectively implement variable salary models now in existence.
- Train school superintendents in correct procedures to utilize variable salary models including evaluation methods and the development of the necessary human relations skills to improve their utilization.
- Evaluate the extent to which input regarding compensation in variable salary models is solicited, and the extent to which it unnecessarily endangers the independence and integrity of the middle management staff.

The panel was deeply moved by the testimony and perceptions it encountered from participating principals. Prompt action by boards and superintendents will be necessary to remove the causes of much resentment and frustration.

The panel did report some exceptions to their overall findings. Some school districts did involve their principals in budget development, had clarified salary guidelines, and did involve them in policy development. These districts, however, did not appear to be in the majority.

To the extent that similar problems exist elsewhere, it is hoped that the findings will help improve the morale, compensation, and performance of all middle management.

Some Guidelines

How To Be a Successful New Principal

Edward H. Seifert

Be they new to the principalship in general, or simply new to the school district, new principals must be equipped with as much knowledge about their new position as possible. A general set of guidelines for the new principal is provided here.

These 10 steps to the successful principalship should be of help to those who are new to the job and to experienced principals who have taken a new position.

Steps to Success

Step 1. Determine the framework in which you will be working.
This may be accomplished by:

A. Reading the school district's written policies, especially those in the area of student discipline, personnel, and student activity programs.
B. Obtaining a conference with the superintendent or your immediate superior to clarify policies and secure other policy material.
C. Clarifying the superintendent's interpretation of the role of the principal. A very specific understanding is necessary from the first day of employment.
D. Interviewing the former principal, if possible, to help determine past

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practices and to gain information about the faculty, students, and community. Be a good listener and don't press issues which appear to be sensitive.

E. Examining correspondence, forms, budget, and the internal financial operation.

Step 2. Get acquainted with the complete instructional program. This may be accomplished by reviewing curriculum guidelines and courses of study. Become familiar with as many of the curriculum consultants as possible so you may have your questions about the school program answered.

Step 3. Get acquainted with local leaders of school-affiliated organizations, such as PTA, parent advisory committees, and booster clubs. This can be accomplished by:

A. Examining each organization's stated purpose and history.

B. Attending each organization's first executive meeting. Discuss with leaders their anticipated activities and the budget expenditures that will affect the school.

Step 4. Review all purchase requests and determine the status of these requests. In addition, check to see if the equipment needing repair has been sent for repair and returned. Learn the procedure for obtaining additional supplies and equipment.

Step 5. With head custodian and a maintenance person, survey the school plant and facilities. Establish a solid working relationship with the custodian and maintenance shop. This will help you get needed services in a time of emergency. Learn the procedure for requesting material and labor for major maintenance jobs.

Step 6. Establish a rapport with your secretary and learn the office procedure. Don't try to change office procedures immediately, but do communicate what you expect in the way of personal performance.

Step 7. Prepare for registration of pupils new to the system or new to the school. It is probably wise *not* to change student registration procedures in your first year. In many instances the major elements of registration have been completed prior to your arrival in the district. The following items may be needed for registration.

A. Additional help for the registration process. Use PTA members, students, secretaries, or aides.

B. All necessary forms such as emergency cards, schedules, parking stickers, identification card photographers, smoking permits, fine cards from last semester, etc.

C. A student handbook for each enrollee and information about the first week's schedule, school hours, cafeteria prices, a bus schedule, and a school calendar.

Step 8. Perhaps the most important aspect of your new position is the organization and implementation of your first faculty meeting. This meeting will establish your level of leadership and lay the foundation for your tenure in the position. This may be accomplished by:

A. Arranging to have all staff pres-

ent. This includes teachers, aides, cafeteria workers, custodians, secretaries, and security personnel.

B. Introducing new members of the staff.

C. Making sure the meeting does not exceed one hour in length. If more time is needed schedule a second meeting to finish the agenda.

D. Giving each faculty member a packet of information which should include: first-day activities, first-week activities, class roster, room keys, grade books, plan books, class schedules, safety procedures, and yearly calendar.

E. Making sure each faculty member gets a copy of the teacher handbook and emphasizing the extra duty schedule, duty teams, lunch schedule, and procedure for securing supplies and equipment.

Step 9. The first day of school sets the tone for the entire school year. It is most important that a plan be developed for day one. This play should include such things as:

A. A method for enrolling new students who are not preregistered.

B. Placement of signs indicating room numbers located in specific corridors.

C. Asking teachers to hold students in their classrooms even though the students' names do not appear on the class roster.

D. Not allowing class schedule changes on day one.

E. A meeting with each grade level to set the tone for the year.

F. Being available to meet emergencies and being visable to students and faculty.

Step 10. Establish and maintain channels of communication between yourself and your staff members. You must provide two-way communication on a daily basis for a majority of your staff members. This may be accomplished by:

A. Being in the halls talking with the faculty members.

B. Maintaining an open-door policy for all employees.

C. Establishing a faculty advisory group.

D. Encouraging staff social functions.

E. Using the intercom sparingly and only at specific times during the day.

Conclusion

The 10 steps outlined in this article are by no means all of the things a successful principal needs to know or accomplish. They are simply guidelines which can increase the opportunity for a new principal to be successful. They are designed to help eliminate problems which arise from being new on the job and submerged by volumes of new information.

Setting the Tone for Your School: Advice for the First-Year Principal

The first year as principal in a school need not be chaotic, says this writer. She details her five-step approach to making the first year a successful one.

By Helen McIntyre

THE FIRST YEAR in the principalship of a school sets the tone, mood, and expectations and, if appropriately approached, can start the vital process of establishing a solid foundation on which to build. I liken it to a period of courtship.

Like its romantic parallel, it contains joys, trials, growth, and pain. It is a time when trust and cooperation must be emphasized before management. Sloppily and casually approached, the courtship period can result in a break-up rather than culminating in a harmonious marriage of purpose and goals.

New principals often find themselves wondering if they are on a solid foundation, and if they have what it takes to do the job well. These are the first-year jitters and should be expected. Here, I offer you a scenario of the first year.

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First Year: Five Phases

The principal's first year can be divided into five distinct phases: pre-arrival information gathering, sizing up, positioning, polarizing, and accepting.

1. Pre-Arrival Information Gathering

This period begins once there is even a hint of the present principal's intent to leave. When the position is formally announced, virtually every decision made is tentative, and in most cases decisions are simply put off until the new person is selected. Once this occurs, staff members spend a large percentage of their time checking you out with all the contacts they can muster. This is a time for rumor, conjecture, and great instability.

To fight the pre-arrival jitters and alleviate some potential problems, a few

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steps can be taken. If you are selected during the spring prior to your first year, ask the current principal to invite you to spend some time in the building getting acquainted with procedures. Memorize them. Obtain a copy of the faculty handbook, student handbook, parent handbook, and the policies and procedures manual.

Establish contacts with your vice principals, counselors, department heads, and particularly with your new secretary. Meet the PTSA board. Ask for the principal's calendar of activities, meetings, and monthly task lists.

Introduce yourself to the student body officers. If the exiting principal is truly concerned about a smooth transition, he or she will introduce you to the student body in assemblies or small group gatherings. Take advantage of every opportunity to establish those vital communication links that help to dispel rumors and promote stability.

Greater energy can be expended on the transition once the responsibilities of your previous job have been successfully completed. This is the time to schedule coffee hours with parents and lunch sessions with small groups of students. Your "beginning-of-the-year" letter to staff members should assure them of the continuity of procedure, program, and staff responsibilities. This is not the time to announce any radical changes.

Mission, goals, objectives, and expectations are extremely important in school effectiveness. In the initial stages, however, staff members need to know how to relate to you. Allow them a personal view. If a staff member or fellow administrator does not host a get-acquainted social for you, then consider having an open house yourself. If a party is hosted for you, follow up with a social which you host yourself. Introduce your spouse, children, and pets. Your staff needs to know that you are human also.

Keep in mind throughout these goal-setting days that at this stage you are merely gathering data from them. Their perceptions are crucial and need to be identified and understood by you.

To begin the goal-setting process, request extra contract days for your staff from the superintendent before school starts. These days should be used for information gathering and team building. Divide the staff into small groups and rotate through these groups serving as a facilitator and listener. Groups can be disciplinary or interdisciplinary.

Begin with the positive by having them identify the strengths of the school's curriculum and overall management. Interact freely with these groups, complimenting them and relating their goals to your vision of an effective school. Bring them together to share information and begin a group process to synthesize the strengths.

After thoroughly mapping out the strengths of the school in an all-staff session, again break into smaller groups to identify the weaknesses. It is important not to generate any solutions at this point, merely share information. Keep in mind throughout these goal-setting days that at this stage you are merely gathering data from them. Their per-

ceptions are crucial and need to be identified and understood by you.

2. Sizing Up

From the first meeting, assume that you are constantly "on camera." Everything you say, everything you do, the way you dress, the way you act, and your entire personal life will be carefully scrutinized. Plan on working 18 hour days, withstanding abuse, criticism, and comparisons to the last principal. Remain visible, untarnished, ethical, and calm.

The tendency to resist change is very strong. If the staff was comfortable with the last administration, they will want this comfort to continue. Your very presence as the "new boss" can threaten this comfort zone. Assess the past principal's characteristics. Did he or she walk the halls constantly or see each staff member every day? What managerial style did he or she use? If you are radically different, think back on your interview and examine why you were selected. Seek assistance from central office staff. They often have valuable insights to share.

Make an appointment with your boss to ask why you were hired and what goals he or she has in mind for the school, and to identify the problems and strengths of the school. This assessment, together with the summer input from the staff, should give you a firm place to begin to set your priorities.

Once you have integrated the two points of view, share and check these priorities with your superior. Discuss the vision you have for the future, your goals, objectives, and how you plan to proceed. Broach the topic of support for staff development and resources needed for program improvement.

At this point a completed plan is unnecessary. Rather, this discussion can serve to indicate that you will be needing assistance in the future. Be prepared to explain how you will commit monies from your budget as well as researching other sources such as grants, and business/industry assistance to help meet your goals.

The first all-faculty meeting following the opening of school is crucial. If you have uncovered severe concerns that need immediate attention, be prepared to address these areas honestly. At this point the staff is looking for stability, trust, and a clear indication of what your expectations are and how they relate to the school. They expect some change, but more important, they need to know that their past efforts are valued and recognized by you. It is vital that you give credit and reference to their summer input, synthesizing your vision with their evaluation.

Be prepared to explain how you will commit monies from your budget as well as researching other sources such as grants, and business/industry assistance to help meet your goals.

Begin by building on the strengths. Identify the stellar qualities of the school, its reputation, and why you are proud to be the administrator. Tie the strengths into your expectations of the school. Plan to keep the first meeting low keyed, and as nonthreatening as possible. If you do introduce a new pro-

cedure, explain, personalize, and provide rationale as to why you are doing so. A safe beginning is with an instructional request. It is essential that you quickly get to know the goals, objectives, and content of as many courses as possible.

An excellent way to accomplish this and increase the accountability of program expectations is to require teachers to design Course Expectation Forms. These forms should contain: stated goals/objectives of the course; course expectations (papers, reading, speeches, etc.); grading policy (tests, papers, etc.); and other policies (attendance, tardies). Explain that you are requesting a copy of this because being new, you need to learn classroom content and expectations quickly.

Be specific about what you would like addressed, explain it, provide an example on the overhead, and finally, be sure to use what you get. Ask teachers to provide every student with the expectations, and have the students take them home to their parents. Some teachers may require the expectation sheet returned with a parent signature.

When teachers turn in their expectations, read them carefully. If they are unclear, meet with the teacher to suggest areas that need to be improved. If they are well done, compliment the teacher.

During the sizing-up period you should establish yourself firmly as the leader but not, in the process, destroy the independence and initiative of your staff. Look for their strengths, not their weaknesses, and begin to build firmly on their positive qualities. Job changes may be in order in the future, but proceed cautiously. Some of the strongest resisters can turn into your strongest supporters.

3. Positioning

In my experience, the law of averages works like this: One third of the staff will immediately position themselves for acceptance and recognition. They will be concerned about getting to know you and will share freely with you their version of what is wrong with the school. Another third will be indifferent—they will roll with the punches and will frequently say so. The remaining third are the skeptics—the loyal brigade of the past administration. They are concerned mainly with pattern maintenance—keeping the goals and values set by the previous administration. Integration of new ideas for this group will take longer.

Be patient; loyalties generally transfer in time. A common pitfall is to focus attention only on the skeptics and spend time trying to win them over. Instead, focus on those who are already with you.

Early in the fall, time should be allocated to address the mission and goals for the upcoming school year. It is important to reach a consensus of purpose and direction. Again, utilize small interdisciplinary groups within a full staff session. A half-day early release for students would suffice to initiate this activity. Once the priorities are identified, ask for volunteers to work on specific projects or programs.

Not all staff members will volunteer, but expect the accepting third to take the lead. Begin by working with this group. Capture and reinforce their commitment and dedication by utilizing shared decision-making and problem-solving

processes to clarify and achieve agreement on each goal and to initiate programs that would enrich student learning opportunities.

Promote staff leadership and initiative by insisting that teachers chair committees and projects. Reward them with your expressed appreciation as well as special stipend pay, if possible. Released time and consultant services help to foster a strong competency base and reinforce a sense of collective responsibility toward common goals.

As an example, Shorewood began a new honors program—a program that was supported and promoted by several staff members and endorsed by the community. Staff members volunteered to develop the program, I provided them with released planning time, money for conference attendance, summer curriculum development time, and a high level of trust to develop the program from an in-house teacher approach. As a result, our program is now in its third year and at least 50 percent of the staff has become involved. An important point to remember is that creative programs must not only be encouraged but must also be justifiable in terms of positive student growth. Further, they must be tied to the overall mission of the school.

By allowing staff members to choose their involvement they become committed to the process. Initially, this method may run into a few snags, but shortly the staff will see that you are supportive of their efforts and the majority will express their interest for future involvement.

Do not become discouraged by the fact that there are some who will not be involved. This is typical of any staff. Again, focus your energy on the positive staff members.

4. Polarizing

The accepting third of the staff will quickly become the promoters of a new culture for your school. However, the benefits they receive and the visibility they achieve may result in some polarization of the rest of the staff. Communications and interactions will take a formal and informal tack. Informally, some staff members will make fun of the involved staff, make snide remarks, and take a "sit-back-and-wait" stance. Formally, staff members will complain. "Perhaps we really do not need this new honors program." "It is wrong to segregate students, and unfair to the rest of the student body."

An important point to remember is that creative programs must not only be encouraged but must also be justifiable in terms of positive student growth. Further, they must be tied to the overall mission of the school.

An understanding of and tolerance for conflict is crucial here. You need to be exceptionally clear on why a particular new program is necessary, and try to convey your vision to the questioning or "sit-back" groups. Help these staff members identify their interests and capitalize on them. Discuss the goals and direction of the school openly with them. Ask them to identify their priorities and what they visualize for the future. Encourage them to identify an area in which they would like to make a

commitment. Then follow up with resources to assist them.

For some staff members, facing change is a progression. It begins with rejection, turns into reluctance and wavering support, and then resignation accompanied by a "don't care" attitude. The final step is increased interest and the decision to become involved. Granted, not everyone will want to be involved with every program. The challenge is to focus their energy. Involve these staff members in finding solutions rather than in gripe sessions.

Even with this, some staff members will seem to have difficulty identifying a priority. For these, you might consider instituting the Quality Circle concept. Ask a group of uninvolved staff members to form a Quality Circle group. Provide them with training in the concept, guarantee them a positive ear, and have them begin by identifying the priorities for the building for the following year. This process tends to develop the concept of goals that are shared rather than imposed by the principal.

5. Accepting

The first year is a time for building trust and establishing relationships, so that in subsequent years a common purpose and mission can emerge. This is followed by workable and achievable goals and objectives that are mutually identified and agreed upon. This is the final reward, and at this point you can feel that you have been accepted. You will see fruition of your vision and goals, and the staff will see their goals being accomplished. They will see career opportunities expanded and will become motivated. Staff members will visibly care about the school.

. . . some staff members will seem to have difficulty identifying a priority. For these, you might consider instituting the Quality Circle concept.

As a leader, it is your responsibility to foster and promote initiative, excellence, and growth in others, and to motivate, facilitate, and provide the necessary group unity and commitment to common goals and objectives. This is a difficult charge, one that takes years to achieve.

Of course, you will never have 100 percent staff agreement with every decision, stance, or process. Disagreements will still occur but they happen in an environment of understanding and acceptance. You will agree to disagree.

The end result pays off not only for you, but for the staff, for the community, and most of all, for the students. It pays off in a positive climate that nurtures and respects individuality and differences. It pays off in a quality school that centers on a mission that is best for students.

2. Leadership: Styles, Characteristics, and Responsibilities of Secondary Principals

Each principal is unique. Past experiences, levels of training, philosophical perspectives, and the unique environment in which the principal may be working cause each administrator to view and interact with those around him or her differently. For these reasons, each principal tends to have his or her own style of leadership.

That preferred approach or leadership style often is an unconscious choice that has evolved from the previous problem-solving experiences. However, as the articles in this section will make apparent, leadership styles and techniques must be carefully and purposefully considered by principals if they are to successfully guide staff, students, and community members to optimum levels of academic achievement and personal development.

In a time when the demand for educational productivity has never been greater, principals must use every tool at their disposal to effectively and efficiently manage resources and personnel. Using the appropriate leadership style for the particular situation will largely determine the extent to which the principal is ultimately successful.

One approach to leadership that the modern-day principal should seriously consider is that of team management. As Pellicer and Nemeth point out, the size and complexity of today's high schools have increased to such an extent that one individual cannot hope to personally manage every facet of school operations. The authors define school team management, offer procedures to use to implement the concept, and highlight the advantages that a principal will reap after the team management approach is implemented.

Raymond Lemley offers 12 suggestions to improve leadership behavior. He discusses such topics as decisiveness, creating an environment for individual growth, balancing common sense with hard data in decision making, and several

other leadership topics of importance to the principal.

"Principles to principal by" is the theme of the article by Jack Markham. After serving as a principal for a few years, the author developed a set of rules to assist him in making decisions and resolving conflicts. Markham explains each of his principles and provides examples of how several have been used in actual problem-solving situations in the school setting.

Guth and Williams admonish principals to be aware of their philosophical orientation. Only through careful self-assessment can principals determine their own sets of beliefs and values. The authors also provide tables describing the characteristics of administrative theories and philosophies from which principals can begin to assess their own outlooks on the world.

In the final article in this section, Iannaccone and Jamgochian stress the importance of the principal's leadership role.

Tired of Carrying the World on Your Shoulders? Try Team Management

Leonard O. Pellicer
Gyuri Nemeth

THE ROLE OF SECONDARY education in America was once rather simple and well-defined. The high school of 1890, for example, was primarily a college preparatory institution designed to polish the academic skills of students planning to pursue a college education. The student body was a rather select group composed of seven percent of the 14 to 17-year-old population who were highly motivated and for the most part academically talented. Discipline and moral education were considered functions of the family and the church and not a part of the school's responsibilities.

By comparison, the domain of the modern high school is much broader and more complex. In addition to training students in a greatly expanded academic program, the American high school is charged with transporting, feeding, counseling, disciplining, entertaining, and providing health and social services to its students. Further, all students must be served, regardless of their mental or physical condition.

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The dramatic growth in the size of high schools coupled with the expansion of services and programs makes the role of the high school principal more challenging than in years past. Principals can no longer be expected to know all the answers, make all the decisions, and be everywhere at the same time. The principal of a medium-size to large high school cannot realistically expect to "make things happen" as a one-person team. Today's high school demands a modern approach to management. Team management is one such approach.

The concept of team management as applied to school administration can be traced to several management principles. The assumptions that form the basis for McGregor's Theory Y are imperative to the initiation of an administrative team. Each member must have confidence in the integrity, motivation, ability, creativity, and vitality of those to whom team goals are entrusted. McGregor states that "Management leans on a weak crutch if it relies too much on authority today."[1] The administration of a school, given the present social climate, is greatly affected by this trend away from omnipotence.

The Scanlon Plan, developed by Joseph Scanlon, incorporates the theory of effective participation necessary for a team approach. The plan espouses "a formal method providing an opportunity for every member of the organization to contribute brains and ingenuity as well as physical effort to the improvement of organizational effectiveness."[2]

To successfully apply these management theories to school administration, a climate of interdependence among the team members must be created. This Herculean task is the primary responsibility of the principal. Individual efforts of team members must be directed toward the success of the school, thus enhancing each individual's feeling of goal achievement. The nature of relationships between team members is a major factor in the team's success or failure. The principal should act as the conductor of the orchestra, allowing instrumentalists to express their virtuoso talents while creating a cohesive and successful symphony from the parts.

In other words, the principal will be a participant in the creation of group goals while allowing each team member to exercise maximum motivation, ingenuity and initiative. The principal's personality structure must be such that he or she is able to accept and enjoy this role, for the principal's commitment to the team approach is the foundation upon which other team members will build.

1. Douglas McGregor, *The Human Side of Enterprise* (New York: McGraw-Hill Book Co., Inc., 1960), p. 22.
2. *Ibid.*, p. 113.

Procedures for Implementing Team Management

A number of approaches could be employed to implement team management in a high school. If we assume that firm theoretical and philosophical bases for team management have been established, then minimal procedures would include:

- Determining who will be included on the management team.
- Determining long and short-range goals for the organization.
- Identifying task areas as a basis for designing job descriptions and setting individual goals.
- Holding formal meetings of the administrative team on a regular basis.
- Planning for periodic reassessment of progress toward stated individual and organizational goals.

Membership on the administrative team may vary from school to school. The following individuals will normally be included on the administrative team: the principal, assistant principals, deans, the business manager, the chairperson of the guidance department, and special project directors or coordinators. Generally speaking, those individuals who spend at least one-half of their working hours managing other staff members or school programs will be included as members of the management team for a particular school.

The long and short-range organizational goals of the school should be congruent with the educational needs and aspirations of the community being served, and should be formalized by the entire professional staff of a school. The role of the management team in this task is to gather and share information for group decision making and to coordinate the process so that maximum input from groups and individuals within the school and the community is reflected in final decisions. The organizational goals resulting from such a process should guide every member of the school organization in structuring individual goals and objectives.

Once organizational goals have been established they can be used as a basis for identifying task areas and designing job descriptions. If maximum utilization of personnel resources is to be achieved, then overlaps in authority and responsibility must be reduced to a minimum. Therefore, all members of the team should participate in developing their own job descriptions as well as those for other members of the team.

Principals may find the following suggestions useful when developing job descriptions for members of the administrative team:

- Teachers many times feel that some tasks delegated by principals are unimportant or less important in relation to those they retain as a part of their job responsibilities. Therefore, principals should

retain some of the undesirable but necessary tasks such as discipline, maintenance, housekeeping, or attendance as a part of their own job descriptions.

- Assure the inclusion of satisfying tasks such as supervision of instruction, working with student or parent groups, or representing the school at public events in the job description for each member of the management team.
- Spread the work load as evenly as possible while matching the strengths of team members with the task areas where these strengths can best be utilized.
- Remember the principal's responsibility to help train subordinates to assume positions of more responsibility in the future (perhaps even the principalship). This concern may require rotating task areas on a yearly basis or employing some other strategy to allow each team member to broaden his or her expertise beyond a few areas of the total school environment.
- Some responsibilities cannot be delegated if the principal wishes to maintain leadership in the school. Final decisions in some areas such as staff selection, teacher evaluation, and the utilization of scarce resources may need to be made by the principal with input from team members.
- Authority must be delegated to match responsibility. Team members cannot function effectively without the authority to make decisions in their areas of responsibility. Failure to delegate authority commensurate with responsibility will lead to the ultimate destruction of the management team through frustration and demoralization.

To achieve maximum effectiveness from the management team, formal meetings must be held on a regular basis. These meetings should be weekly events complete with formal written agendas compiled by the principal with input from team members. Members should be required to report progress and problems they are experiencing in each major area of responsibility. This procedure fosters good communication because each team member is kept informed about the progress, problems and concerns of every other member of the team. Also, problem solving that is shared in a mutually supportive atmosphere results in better decisions. Another advantage of the weekly staff meeting is motivation of individual team members. When team members know that they will be called on weekly to report on progress toward goals in individual areas of responsibility, they usually become highly motivated to make some progress on a regular basis. Failure to achieve progress over a long period might cause group pressure and perhaps even group sanctions.

A final consideration in implementing the team management approach is arrangement for assessing progress toward individual and organizational goals. Since individual goals are predicated on organizational goals, the performance of individuals should have a direct impact on the achievement of organizational goals. Some form of performance-based evaluation for team members, including the principal, should be implemented based on the establishment of individual goals in each major area of responsibility identified in the job description. Goals should be broken down into objectives expressed in behavioral terms so that achievement can be measured and appropriate feedback given to each member of the team.

Successful achievement of the individual goals, provided these goals are appropriate, should promote successful achievement of organizational goals. The school organization must, however, exchange information with the community it serves on a regular basis to determine if the organizational goals are appropriate and whether or not progress toward organizational goals is viewed as acceptable. Discrepancies in either area must be eliminated through adjustments within the organization or revised community expectations.

Advantages of a Team Approach

Benefits of the team approach to individual administrative personnel, the individual school, the school district, and the community served by the school are numerous. Some of these benefits are:

- Too often the scope of the responsibilities of assistant principals and other administrative personnel in the school setting are limited to one or two narrow areas such as attendance and discipline. As a result, these individuals remain ignorant of many other crucial facets of the school and its programs. The team management process allows team members to expand their horizons by participating in the decision-making process in all areas of the total school environment, thereby enhancing their professional development.
- The self-esteem, morale, and sense of responsibility of those participating in a team approach will be enhanced due to the importance of their own individual roles to the management process.
- Input from several administrators in the decision-making process within the school increases the probability for higher quality decisions and yields a high level of commitment to management decisions because decisions are shared by members of the team.
- Channels of communication will be firmly established and will remain open during periods of normal operation as well as crisis situations that are sure to arise in all schools.

- Efficient operation of the school will not be totally dependent upon the accessibility of the principal. If the principal is not available to make a particular decision, at least one and probably more than one team member will have a good working knowledge of school procedures in the area necessary to render a decision. Thus a team member other than the principal could make a judgment that would be consistent with the goals established by the team.

Summary

The American high school is becoming an increasingly complex institution. The dramatic growth in the size of the average high school along with the rapid expansion of school programs and services has made the role of the principal more demanding than in years past. Team management is a viable solution to the problems incurred in the day-to-day operation of a moderate to large high school. A principal who is philosophically committed to principles of team management can implement a team approach through:

- Determining who will be included on the management team.
- Working with team members to determine long and short-range organizational goals.
- Identifying task areas as a basis for designing job descriptions and individual goal setting.
- Arranging for and conducting formal meetings of the management team on a regular basis.
- Planning for periodic reassessment of progress toward individual and organizational goals.

The benefits of implementing team management in the high school are: increased morale and job satisfaction for all team members; higher quality management decisions and commitment to those decisions; clearer communication among team members; the development of future principals with a working knowledge of the total school; and more efficient and effective operation of the school and its programs.

Points To Remember

The Principal's Dozen: Effectiveness Reexamined

Raymond E. Lemley

This writer provides a dozen suggestions for the principal who wishes to be effective.

Richard Sloma is a successful manager. He is a member of the Institute of Management Sciences, and the President's Association of the American Management Associations. He is also an exciting and lucid writer. His *No-Nonsense Management*[1] is a touchstone for leadership behavior for any organizational leader. Borrowing from Sloma's 70 suggestions, I have paraphrased 12 admonitions or precepts, one dozen sound suggestions that may enhance leadership skills.

1. *The decisive principal will prevail; almost everyone else will be indecisive.*

   While others sit and ponder (pondering is often confused with thinking), the decisive principal will be out in front of the group doing what he does best—leading. Not to be confused with foolhardy behavior, decisive behavior is associated with quick evaluations of options, alternatives, and probable consequences. Once the evaluation has been completed, decisive prin-

1. Richard S. Sloma, *No-Nonsense Management* (New York: Macmillan Co., 1977). Adapted with permission from the publisher.

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cipals move toward the goals of the building or district.

2. *The principal's responsibility to his or her people: Create an environment for individual growth, success, and opportunity.*

   Support those who understand that goal; replace those who do not understand it. The "human relations" school of management offers principals a great deal. McGregor's Theory Y descriptors also support the desire of people to be motivated and successful.

   However, some staff members actually inhibit the growth and progress of the school because they feel the principal alone has responsibility to structure a near-perfect environment. Effective principals should send a clear and precise message: "Expect support toward growth, success, and opportunity; look to yourself for the rest."

3. *Effective principals should identify those in the school who are truly dedicated, creative, energetic, and loyal and should build around them and support them.*

   Identifying dedicated, creative, energetic, and loyal people will not be very difficult. Staff members who are dedicated, creative, energetic, and loyal will stand out, and they will contribute immeasurably to the school's goals when they are supported and rewarded, even in small ways. Effective principals will enhance the school's goals by supporting the winners.

4. *Work at solving problems one at a time.*

   School environments are often chaotic. Effective principals know better than to attempt many things at once; they work on things one at a time. Things will not always line up in order. But the effective principal imposes order by saying "wait," "not yet," "in a moment," or even "no." Problems confronted in bunches usually generate more problems.

5. *Leadership is often a contest of wills; thus, persistence wins.*

   The effective principal knows that a willingness to stay with a task usually results in payoff. So also does persistence in behaving like a leader provide reward. The principal's prerogatives often are denied by mandate or negotiated away by contract. Effective principals assert their leadership by consistently moving toward personal and school goals. Persistence wears down opposition. The effective principal has a deep commitment to personal and organizational excellence; a commitment that garners respect rather than fear. Subordinates motivated by respect will support rather than usurp leadership.

6. *The boss cannot give the effective principal authority; authority is exactly what is extracted.*

   A principal is where he or she is quite simply because he or she chose to be there. The individual wanted responsibility and authority. Responsibility is a character trait; authority is an expressed need for power and is derived from peers and subordinates. Authority is de-

pendent upon the principal's recognition of the dignity and worth of subordinates, upon a stated expectation of excellence, and upon his or her observable dedication to problem solution rather than people manipulation.

7. *The effective principal avoids owning someone else's problems; undoubtedly he or she will have enough personal problems to work on.*

   No principal needs to be reminded about all the existing problems and responsibilities. Too much heat, too few books, student failure at all kinds of things, teachers playing the projector too loud, late buses, and even rain at the senior outing. Too often the principal accepts the problem as a personal one that should be under personal control.

   Stop. Worry or anxiety will not resolve the problem. Get others to behave responsibly, to understand who or what controls the situation.

8. *When you can make a choice between "effective" and "efficient," first be effective, then be efficient.*

   The effective principal's staff members will never know of the efficient preparation of the budget or the hours spent efficiently scheduling the building. They will sense immediately your effectiveness in dealing with disruption, or your effectiveness in speaking to parents. The faculty will know how effectively you handle a conference. So, delegate the things that require *efficiency*. Go out and be *effective*.

9. *When the data conflict with common sense, abandon the data.*

   Effective principals collect the data needed to make a decision, then they act. The ineffective principal collects the data, questions it, collects more data, verifies that, then compares and contrasts the sets of data. That's good behavior for an actuary, not a principal. Get the information you need, then move.

   When the information fails to feel right, when all the data runs counter to that sixth sense, then forget the data and trust the gut feeling. Checking the data may deny the opportunity to act. You may strike out, but at least you were in the game; you were not forced to be a spectator.

10. *Master the previous; then go to the subsequent.*

    Principals occupy busy environments, places where several things are going on all the time. The temptation to move from task to task is great, even prior to completion. Finish the present task. Do not be persuaded to move to a new important task before the preceding one is completed. Your "track record" is established through your successes with the key issues, the more important tasks.

11. *When you have solved a problem, you will probably generate others.* Problems frequently seem to have a life of their own; some problems seem to fragment at the point of resolution. Just when one problem is reconciled, a second problem appears that somehow derives from

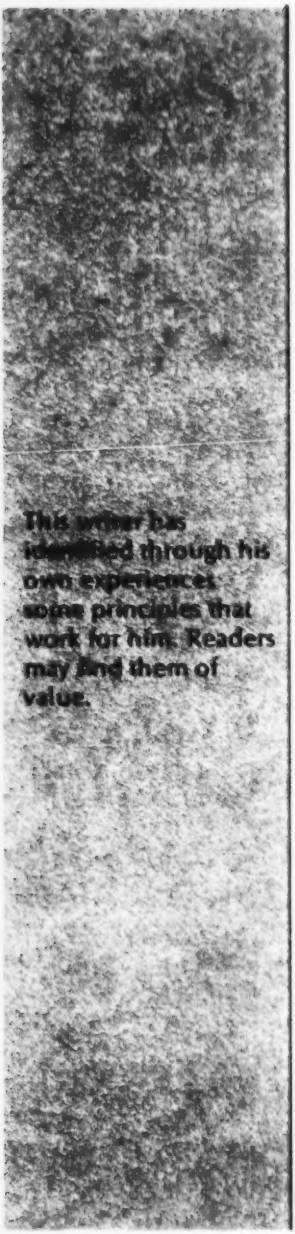
the resolution of the first. Now what? Resolve the new problem with the awareness that resolving that issue may generate one more. And so on, and so on, and . . .

12. *Planning is neither complicated nor difficult. Boring, possibly. Tedious and time consuming, always. The effective principal may be tempted to avoid it.*

To say that "Murphy's Law" mitigates against planning is a weak rationalization. To trust to off-the-top-of-the-head responses is risky. Effective planning is essential. Making a list of the day's activities is planning. Writing down the agenda items for next Wednesday's meeting is planning. Working through a set of departmental budgeting requests is planning.

Planning is often rote, routinized, and absolutely boring. But working without plans is suicidal. Possibly, the effective principal may be able "to fly by the seat of the pants." Doing so all the time may provide one time to polish up one's resume.

These 12 suggestions may provide a brief refresher course for those of us who periodically question our effectiveness. They are by no means dramatic in their content, but they may help us recall behaviors that have been forgotten or misused.



This writer has identified through his own experiences some principles that work for him. Readers may find them of value.

Ten Principles To Principal By

Jack Markham

IN MY THREE SHORT years as principal, I have found that I have been basing many decisions on a few principles. At first those principles were vague to me, but as time went on they became more clearly defined through practice until finally I could state some of them. They are not all the principles by which I operate, and they are surely not the most profound, but they are very handy. Following are 10 principles that have helped me in making decisions and resolving conflicts.

PRINCIPLE 1—*Don't be afraid to try something different.*

We know educators are often reluctant to do something they feel needs to be done because they are afraid they won't succeed. The fear could be decreased if educators would state to themselves what the condition will be if they don't succeed. Often failure in a new endeavor will mean only that the condition will be no worse than it was before.

We applied Principle 1 when instituting our reading program. We were told by many authorities that high school reading programs seldom if ever worked; however, we decided that if the reading program did fail the students would read no worse than they had read before. We put the program

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in. In fact, the students' reading scores improved significantly from pre- to post-treatment tests.

The range of decisions to which Principle I can be applied can be seen in the example of its application to whether or not to re-sod some spots on our football field late in the summer. We found two large spots in our football field where low-spreading weeds had choked out the grass. We knew the weeds would die with the first hard frost and leave bare spots in the field. We also knew that it was too late to re-seed the spots. Re-sodding was our best bet, but we weren't sure it would take hold by the time football season started. We chose to re-sod the spots because if the sod didn't take hold in time we could take it up, fill in the spots with soil, and have the same bare spots that we would have had if we had left the weeds—a condition no worse than the original. The sod took hold, and our football field was in excellent shape for the beginning of the season.

PRINCIPLE II—*Know when you have won.*

This principle is a variation of Occam's razor. Simply stated, it means stop when you get what you want. Too often we stand on principle or rights as an administrator long after we have accomplished our objective. For instance, we can insist on the right to control a situation even when the ones actually in control are providing what we would provide if we were in control. Conflicts with Central Office Personnel more often arise out of the question of who controls what than whether or not they enable us to meet the goals we set for our school. You have won when your goal is met no matter who controls the meeting of the goal.

Another application is in conflicts with others. We often continue to quibble long after we have achieved our ends simply because we are defending ourselves against insinuations made by the other party which have no bearing on the issue. Once we have achieved our ends in a conflict, we should stop. We are seldom damaged by insinuations of other parties.

PRINCIPLE III—*Don't be sidetracked. Don't let issues be confused.*

Principle III is applicable to issues large or small. An issue can appear to be much more difficult than it really is if we are perceiving as one issue what may actually be two or more separate issues. Issues of student discipline are often actually more than one issue. A principal of another school and I were discussing the problem of students roaming the hallways during class. He said that too many times when he reprimanded a student about being out of a class without an excuse the student would reply that nothing ever went on in the class anyway.

The principal said that he knew it was often the truth and that he didn't feel that he had a leg to stand on with the student. I pointed out that the student being out of class was an attendance problem and that nothing worthwhile ever happening in the class was a personnel problem. Each problem should be addressed separately. The student's place is in class. The teacher's place is to teach the class. The principal's place is to see that both things occur. I have heard from the principal that he has approached the problem as two separate problems and "cleared the hallways."

PRINCIPLE IV—*Know what you are not willing to fight for.*

There are many policies and rules in schools that were adopted for convenience. There are other policies and rules that implement the philosophy of the school or enable the school to achieve its goals. Those policies made for convenience are more flexible and can be changed or abandoned much more easily than those which implement philosophy and goals. A person would be foolish to "fight to the death" in an attempt to do away with a rule that requires students to clean their lockers once every six weeks, for example.

On the other hand, one should never give in on a policy that requires students to assume responsibility for their actions if students assuming responsibility is a goal of the school. Sort out ahead of time those policies and rules that are for convenience and those that are for more serious purposes so that you don't wind up wasting energy fighting for what is not important.

PRINCIPLE V—*Don't back a losing horse.*

Principle V is related to Principle IV but pertains to personnel. Many principals pride themselves on always backing their teachers "no matter what." That attitude is defensible when "no matter what" is an honest mistake made once in a great while by an otherwise good teacher. However, when a teacher is harming students regularly with unsound practices, education as a whole loses if that teacher is unthinkingly backed. Losing horses hurt everyone; don't back them.

PRINCIPLE VI—*Need is a nebulous thing.*

One of the most difficult things to establish in education is need, particularly need for "things." Amazing accomplishments take place daily in education without the equipment or materials that you would think were *needed* for the accomplishments. In a neighboring school district there is a very good computer programing course, but there is not a computer in the school. Yet there are many things that cannot be done without certain equipment or materials.

I can't imagine teaching cooking without heat and food. Where the need becomes nebulous is where you have to decide what kind of heat. Is there really a need for gas, electric, and microwave ovens all in the same cooking lab, or are two of the three only "wants?" Is there really a need for a number of different books in an English classroom, or will one literature anthology fill the need?

Needs become coupled with each other and become even more complicated to verify. If there is a need to teach machining in an auto mechanics class then there is a need to have certain equipment to teach the machining on. But, the first need is very difficult to establish and the second is very expensive and both are probably "wants" anyway.

When needs are many and resources are few then we have to become very exact in determining what is really needed.

PRINCIPLE VII—*Define the territory.*

You must know what you and your staff are capable of doing and confine your resources to that. This principle can be illustrated by student control. You can control your own campus. You cannot control a whole town. You must confine your disciplinary efforts to your campus. If you start attempting to control students beyond your campus, you will spread your resources too thin.

Principle VII can also be illustrated with guidance services. Your staff is probably trained for educational guidance, career counseling, and minor personal counseling but not for clinical counseling. They should confine their energies to doing what they know they have to do.

PRINCIPLE VIII—*Know when to punt.*

This principle is tied to Principle VII. Once your staff has reached the limit of its resources or training then it should rely on people or agencies with appropriate resources and training. Refer people who complain about the way your students drive to the police. Encourage your guidance staff to refer children with deep psychological problems to agencies equipped to handle them. Encourage your teaching staff to refer problems they are not equipped to handle to appropriate staff members. Vast amounts of time can be wasted by staffs and principals who do not know the limits of their own resources and do not know when to punt.

PRINCIPLE IX—*Take one step at a time.*

You cannot solve all the problems in your school at the same time. You cannot even work on all of them at the same time. You can solve most problems if you will take them few enough at a time to concentrate on them and to bring all the resources available to bear at the same time.

Define the problem you want to work on, or define several problems. Decide which one is most urgent and go to work on it. Take as long as is necessary to solve it then go on to the next one.

PRINCIPLE X—*Be prepared to forfeit the season.*

I defined this principle when it became necessary to dismiss several starters from a championship contender football team for disciplinary reasons. Pressure was gathering in the community to let the players back with a reprimand. I decided we would forfeit the season rather than let the whole athletic program be destroyed by the influence of a few. We didn't let the players back. The other players rallied and finished the regular season with an excellent record and went to the semi-finals in the state championship playoffs. The example set by being willing to go for all or nothing had very positive effects on the rest of the athletic program and on the academic program as well.

There may be times when you need to punt and other times when you need to give in, but there are also times when you have to win for the good of your entire program. At those times you must be ready to "forfeit the season."

School Administrators—How Your Philosophical Orientation Affects Management Practice

Educational philosophies, administrative theories, and management practices are all interrelated, state these writers, who offer typology tables to help readers improve their effectiveness through a realization of where they stand with respect to contrasting beliefs and styles.

By James Guth and Robert T. Williams

School administrators must realize that all human behavior is either consciously or unconsciously guided by philosophical concepts. Even the formal theories of administration and organization reflect these concepts, which in turn are reflected in administrative practices.

Administrators who view educational philosophy as an academic exercise unrelated to their real world may not understand the word "philosophy." Popular usage of this word has confused its meaning. Philosophy has been relegated to mean no more than one's ideas or assertions on any particular topic of interest.

Philosophy is actually concerned with a consistent set of assumptions about the universe, knowledge, values, and the nature of reality. Different philosophies have developed out of man's attempt to achieve the good life.

Society has created the educational system to transmit its accumulated knowledge and values and to prepare its young for the purpose of a good life. It is therefore essential that educational leaders understand the various systems of philosophical thought. Once school administrators understand their own philosophical orientation, they can more intelligently refine and improve administrative behavior.

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Idealism, Realism, Pragmatism

Three philosophies have traditionally dominated American educational thought and practice: Idealism, Realism, and Pragmatism.

Idealism emphasizes the spiritual, rather than the physical, nature of reality as well as the unchanging nature of values. Realism emphasizes the physical, rather than the spiritual, nature of reality and the unchanging nature of values. Pragmatism promotes change as the only reality and stresses the relative nature of values.

A more recent philosophy of education is Philosophic Analysis, which dictates empirical verification as a prerequisite for reality. Values have no meaning in the realm of Philosophic Analysis. Table 1 gives a comparison of key points relative to these philosophies. The reader is encouraged to check those entries with which he agrees, and may find that his beliefs regarding reality, knowledge, and values do not all lie along the same row.

The various educational philosophies compete for the administrator's attention, confidence, and adoption. But because day-to-day issues are not couched in philosophical terms, the administrator might not recognize their relationship to philosophical thought. For example, many professors of education teach the innate goodness of the child.

An administrator cannot believe this and base his interactions with students on this belief, if he also accepts the Christian concept of original sin and the need for a savior. The philosophy the administrator adopts, consciously or unconsciously, influences his beliefs regarding the nature of the individuals with whom he has contact and affects his behavior toward them.

Administrative behavior is limited

Table 1
Characteristics of Philosophies

	Nature of Reality	Nature of Knowledge	Nature of Values
IDEALISM	Reality is spiritual rather than physical. We can never know it all.	Truth is that which is consistent with other knowledge.	Values are unchanging.
REALISM	The material world is real, and exists separately from those who observe it.	Truth is revealed and unchanging.	Values are permanent and objective.
PRAGMATISM	Change is the only reality. What man cannot experience is not real.	Truth is relative and changeable.	Values are relative.
PHILOSOPHIC ANALYSIS	Anything which is empirically verifiable in principle is real.	Truth is only that which is verified empirically.	Values are meaningless.

both by philosophical perspective and by an understanding of administrative theory and practice. Consequently, many school administrators rely on formal theories of administration to enlarge their perspective of the administrative process.

Three Theories of Administration

There are basically three theories concerning administration and organizations: Classical, Social Systems, and Open Systems theories (Hanson, 1979). A characterization of each of these theories is in Table 2. Although these characterizations do not fully describe these theories, the reader who should be able to see some clear differences between them is again encouraged to check those which best describe his or her beliefs. The three theories reflect the philosophical concepts presented earlier.[1]

The Classical theory prescribes administrative practices and organizational structures that are expected to increase the efficiency and the effectiveness of the administrator. It is generally consistent with the philosophical concepts of Idealism and Realism. Idealism emphasizes the unchanging nature of values, truth, and knowledge, thus implying resistance to change.

The Classical theory reflects this orientation by proposing administrative practices and organizational structures that are resistant to change. Realism emphasizes the rationality of science. The Classical administrator could deductively determine the most efficient and effective way to get things done.

Whereas the Classical theory does not take into account the psychological needs of the worker, the Social Systems theory does. It acknowledges the psychological needs of the worker in the organization and places less emphasis on the efficiency aspect of administration.

Social Systems theory is consistent with the concepts found in Pragmatism. The Social Systems administrator uses democratic processes to resolve conflict by allowing worker participation in the decision-making process. This type of administration is pragmatic in nature.

The Open Systems theory reflects the concepts of both Pragmatism and Philosophic Analysis. The Pragmatic philosophy emphasizes the role of man in society. It urges the administrator to view the organization in the context of the society in which it operates. The Open Systems theory reflects this orientation by characterizing the organization as committed to interaction with its environment.

Philosophic Analysis demands practices based on scientific study and analysis. According to Open Systems theory, decisions are the result of analyzing possible alternatives and consequences relative to specific problem situations.

Administrative practice flows from theory, but practice becomes inconsistent and inadequate without the direction of theory. Current practices in educational administration are characterized

1. Many administrative and organizational theories are applicable in the educational setting. A review of the literature reveals various, and sometimes inconsistent, ways of considering these theories. Although there does not appear to be any adequate taxonomy of administrative theories offered in the literature, Hanson's approach has been chosen, and modified, for the purpose of illustrating the interrelationships that exist between educational administration and philosophy.

Table 2
Characteristics of Administrative Theories

Analysis Criteria	CLASSICAL	SOCIAL SYSTEMS	OPEN SYSTEMS
VIEW OF ORGANIZATION The organization is characterized by a:	Hierarchy of rules and responsibilities that is constructed according to specifications of the manager in order to achieve the formal goals of the organization.	Collection of related social groups that may collaborate to achieve the goals of the organization. Members of the groups frequently form informal coalitions that work outside the formal structure of the organization to achieve their own goals.	Collection of interrelated social groups that act independently within the organization on some matters and interdependently on others. The organization is committed to interaction with its environment. The goals of the organization are designed to help achieve the goals of the society in which it exists.
VIEW OF THE WORKER	The worker prefers clearly-defined tasks that require no decision making. Workers performing the same function are considered as interchangeable parts. The worker is motivated by economic rewards.	Every worker has unique social and psychological characteristics and desires that influence his or her productivity on the job. Workers are motivated by economic and social rewards.	Most workers are dedicated to performing the responsibilities of their work in the most effective manner they can. They take pride in their accomplishments at work, and are motivated by economic, social, and intrinsic rewards.
STRUCTURE OF POWER AND AUTHORITY	The power and authority of the administrator is established by his or her position in the hierarchy. It is delegated downward through the formal structure of the organization. The formal rules direct the behavior of the employees. The administrator uses monetary incentives to control the behavior of subordinates.	The power and authority of the administrator is derived from the administrator's ability to motivate subordinates. Power is diffused throughout groups and coalitions of groups. The administrator controls behavior by clarifying roles and expectations and by using human relations skills and peer pressure. The administrator establishes order by managing a balance	Power is diffused throughout the interrelated groups. The administrator has little control over shifting conditions in the environment, but strives to balance the interests of the groups in the organization and the goals of the organization with the demands from the environment.

		between the vested interests of the social groups and the goals of the organization.	
ROLE OF THE ADMINISTRATOR	To organize and operate in the most effective and efficient manner for attaining the organization's goals.	To manage in such a way as to maximize effectiveness and efficiency while at the same time minimizing staff unhappiness. Uses democratic processes to resolve conflict between the goals of the participants and their groups and those of the organization.	To develop plans to deal with events that cannot be controlled. Manage in a creative and efficient manner which leads to positive change and minimizes the inevitable conflicts within the organization and between the organization and its environment.
DESCRIPTION OF THE ADMINISTRATOR	Authoritarian. Organizer.	Negotiator. Coordinator. Human relations expert.	Comprehensive planner. Innovator. Coordinator. Public relations expert. Legal expert.
LEADERSHIP THEORIES EMPHASIZED	The administrator compels compliance from subordinates.	The administrator induces compliance from subordinates.	The administrator diagnoses a situation, and then either compels or induces compliance from subordinates in response to the specific situation.
DECISION MAKING	Facts provide the basis for determining the most effective and efficient way to do things.	Decisions are the outcome of bargaining and compromise among competing groups. Decisions are not value free.	Decisions are the result of analyzing the possible alternatives and consequences relative to specific problem situations. Administrative teams are frequently employed in the decision-making process. Members of the administrative team share equally in the decision-making process.

COMMUNICATION	Follows established formal channels.	Follows vested interests of individuals and groups.	Follows an information network designed to integrate activities in the organization and to establish linkages with the environment.

in Table 3 under each administrative theory. The statements are pure characterizations of each body of theory.

Because administrators are guided by aspects of more than one theory, it is sometimes difficult to associate one's personal style with a particular theory. The reader may find it useful to do some further reading on these topics.

School administrators who want to provide effective leadership must assess their own beliefs and values. In this way, they can move toward the consistent conceptual framework necessary to improve their administrative behavior.

School administrators who do not find time for this run the risk of exhibiting different philosophical positions in their practices. To their coworkers and subordinates, this would show up as unpredictable behavior. People are less likely to have respect for and confidence in an administrator who acts unpredictably.

Effective leaders use theory to consciously evolve a consistent system of beliefs and values to direct and guide their behavior. Consequently, their behavior is predictable and respected by others. Such an administrator is more likely to analyze the several aspects of a new situation, and to develop a logical approach to handling it, than is an administrator who does not have his values and priorities thought through.

The role of administrators in education has become increasingly com-

Table 3
Administrative Practices Related to Theory

Analysis Criteria	CLASSICAL	SOCIAL SYSTEMS	OPEN SYSTEMS
SCHOOL MANAGEMENT	Major decisions concerning the operation of the school are made by the principal. He may delegate authority to his subordinates, but not allow them to interpret or redefine their responsibilities or the	Decisions are not always made solely by the principal. He may delegate authority to his subordinates and allow them to interpret and redefine their responsibilities or the responsibilities of others. Teachers and	Decisions concerning the operation of the school are made by the administrative team. Teachers, students, and interested citizens in the community are consulted in an attempt to either address or anticipate

	responsibilities of others. Decisions reflect the most effective and efficient way to get things done within the formal organizational structure of the school. The master schedule is constructed by the principal with little regard to the desires or needs of teachers. Teachers are assigned teaching duties within their area of certification. The responsibilities of the teachers are clearly defined in a faculty handbook written by the principal.	students are frequently involved in the decision-making process. Many problems are resolved jointly by the teachers and the administration in faculty meetings. Many faculty suggestions are incorporated into the master schedule. Teachers are not necessarily assigned teaching duties within their certification area. Some responsibilities of the teachers are defined by the administration; others by negotiation between the teachers and the administration.	problems related to specific situations in the school and community. The master schedule is designed to accommodate suggestions of the faculty and needs of the students. Teachers' requests, students' needs, and community expectations are balanced by the administration in the assignment of teaching duties.
PERSONNEL SUPERVISION	Teachers are employed on the basis of their subject-matter expertise and past proven performance. They are evaluated on the basis of how effectively and efficiently they perform their duties.	Unique attributes of individual teachers are a main consideration in employment. The evaluation of teachers is based on their instructional performance, teamwork, and specific personal characteristics.	Teachers are employed on the basis of their certification. They are evaluated on the basis of how well they perform their duties in relation to mutually agreeable standards predetermined by the teacher and the administrator.
PROGRAM DEVELOPMENT	Students are grouped for instruction according to their academic abilities or achievement levels. They are frequently tested to evaluate their academic achievement. Students are usually promoted on the basis of their academic achievement. The development of cognitive skills is the main emphasis of instruction. The principal makes most of the decisions concerning the in-	Students are not grouped solely on the basis of their abilities or achievement levels. Most classes are academically heterogeneous. Some students are allowed to progress at their own rate of learning. Students are academically or socially promoted. The development of affective as well as cognitive skills is stressed. Routine decisions concerning the instruc-	The instructional needs of the students are assessed prior to grouping the students together for instruction. Individualized instructional programs are attempted. An interdisciplinary approach to teaching may be used. Students are academically or socially promoted. The development of cognitive and affective skills is stressed in instruction. Decisions concerning

	structional program in the school. Schoolwide change in the instructional program occurs only when the principal perceives the need to do so.	tional program are made independently by individual teachers. Schoolwide change in the instructional program is infrequent, and is the result of compromises among teachers and between the teachers and the administration.	the instructional program are the result of input from the members of the community, students, teachers, and the administration. Schoolwide change in the instructional program occurs frequently.
STUDENT GOVERNMENT	The student government is only allowed to superficially exist. It operates within strict administrative guidelines. The principal does not actively encourage student participation in decision making and goal setting. The principal may purposefully use student government to extend his or her power and control.	Student government serves as the vehicle through which students voice their concerns to the administration. The principal recognizes student government as a helpful organization, and encourages their participation in goal setting and decision making. The guidelines for student government are developed cooperatively by the teachers, administration, and student representatives.	The administration works closely with student government to address student concerns. The student government is encouraged to become active in the school's community as well. Guidelines for student government are developed cooperatively by the teachers, administration, and student representatives. The administration views student government as a means to realize the overall goals of the school.
STUDENT BEHAVIOR	The principal relies on formal rules to define and control student behavior. Student discipline is perceived by the principal as the treatment of student misbehavior. Deviant student behavior is viewed as dysfunctional. Students who do not comply with the rules are likely to be either suspended or expelled from school. The principal shows very little concern for due process.	The principal does not solely rely on formal rules. Appropriate student conduct is sought through modeling, formal and informal discussions with students, and the involvement of teachers. Student misbehavior is not always viewed as dysfunctional. It can be a learning process whereby the students are taught "correct" behavior. The administrator is reluctant to send a student home from school for misbehaving. Disciplinary	The principal does not solely rely on formal rules. Parents, teachers, administrators, and students work together to maintain good discipline in the school. The administrator's efforts are devoted to the prevention of misbehavior rather than reacting to it. Student discipline is seen as a learning process. Students are taught the "correct" way to act in different situations. Disciplinary action is tailored to the needs of the individual and the specific

		action is tailored to the needs of the individual and to the circumstances surrounding the specific violation.	violation. Every attempt is made by the administrator to keep the student in school.
PLANNING	The goals and objectives of the school are defined by the principal. The principal personally assumes the responsibility for annual and long-range planning. The budget reflects priorities determined for the school by the principal.	The goals and objectives of the school are defined by the administration and the teachers. The teachers contribute to the annual and long-range plans. Budget requests are the product of bargaining and compromise between the administration and the teachers.	Community desires and expectations are incorporated into the goals and objectives of the school. Annual and long-range planning is the result of the cooperative efforts of parents, teachers, students, and administrators. Budget proposals reflect input from all interested groups.
COMMUNITY ACTIVITIES	Community needs and expectations concern the principal only when the consequences of ignoring them result in loss of position or authority. The PTA is not allowed to develop any authority or power. Parent conferences are initiated only by parents.	The administration recognizes and responds to some community needs and expectations. The activities of the PTA are largely limited to fund raising. Most parent conferences are initiated by parents.	The administration anticipates and plans for community needs and expectations. The administration works very closely with the PTA and encourages parent volunteer activities. Most parent conferences are initiated by the school.

plex. Today, they must deal with a multitude of dissimilar problems resulting from a fast-changing, pluralistic society. They are constantly subject to public pressures.

The educational administrator needs to know his philosophical orientation. Self-assessment will improve the predictability and adequacy of administrative behavior to address the complex problems of leadership. The administrator who accepts this challenge will realize personal integrity as well as the confidence and respect of others.

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High Performing Curriculum And Instructional Leadership in the Climate of Excellence

Now is the time for administrators to exercise leadership in curriculum development. Those who fail to do so run the risk of having the educational agenda set by others, these educators warn.

By Laurence Iannaccone and Richard Jamgochian

TODAY'S SOCIOPOLITICAL and economic climates provide considerably greater opportunity for school reform than existed 15 years ago when a similar spate of reports and proposals for high school curriculum reform was released.

Another difference from 15 years ago is the body of research findings on effective schools. While much of this comes from work in elementary schools, the portion from secondary schools is consistent with the elementary school results in its most important messages for principals. Thus, two broad dimensions—the sociopolitical and economic context, and the state-of-the-art knowledge—combine to make the present period an opportune one for administrative leadership in curriculum development.

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The Societal Context

The national concern for higher achievement in education encapsulated in the "search for excellence" slogan is part of a broader political thrust shaping domestic policy making. Its guiding policy value is national commitment to increased productivity. This has been increasingly clear since the 1980 election.

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NASSP Bulletin, May 1985, pp. 28-36

The same policy is seen in many other countries.[1] Further, the correlation between the growth of concern for productivity in domestic policy making and the increase in calls for excellence in school achievement exists in these other countries, too.

This suggests that the call for excellence in education is not a short-term wave, but rather a long-term political tide providing sustained contextual support for appropriate curriculum development and leadership.

Similar support also may be found in the economic aspects of the school's social context. The interest in productivity, the attraction of high-performing systems, and especially the attention given to Peters and Waterman's *In Search of Excellence*[2] adequately footnote the present orientation of business managers and leaders. The convergence of political and economic ideas provides a relatively coherent and probably sustainable context of support for appropriate curriculum development and administrative leadership.

An additional strand of the same current political and policy thrust, found also in the newer business literature, adds to the favorable context for principals to lead in curriculum development. Common to each of the dimensions touched on above is an amalgam of tight cultural control with loose structure and supervision as in the best-run American companies. In government this may be seen as decentralization of decision making within the limits of national goals and policies. The significance of this for the principal's behavior inside the school will be taken up later, but its contextual significance lies in the increased latitude of discretion for defining and producing excellence at the building level.

In sum, the convergence of national policy and economic thinking has produced an unusually benign socio-political and economic context for principal leadership in curriculum development for improving school achievement.

The State of the Art

Perhaps the single most important contribution of the lines of research on effective schools is the cumulative impact these have had on first challenging, and now superseding, the belief that "schools do not make a difference." That belief was bolstered especially by the Coleman Report[3] and was followed by many others with similar findings.

A decade of studies often concerned with the evaluation of federal programs shared the same conclusion. The belief that the improvement of education could not be effectively assured by any particular strategy of national educational policy may have crested about the middle of the 1970s.[4]

More recent research with different

1. R. Murray Thomas, ed., *Politics and Education: Cases from Eleven Nations* (Oxford, England: Pergamon Press, 1983).
2. Thomas Peters and Robert Waterman, *In Search of Excellence: Lessons from America's Best-Run Companies* (New York: Harper & Row, 1982).
3. James S. Coleman et al., *Equality of Educational Opportunity* (Washington, D.C.: U.S. Government Printing Office, 1966).
4. H. A. Averich et al., *How Effective Is Schooling? A Critical Review of Research* (Englewood Cliffs, N.J.: Educational Technology Publications, 1974).

methodological tools taking a closer look at classroom and school processes supports the conclusion that some schools make a very significant difference.[5] The research on effective schools also indicates that the principal is pivotal in bringing about the conditions which characterize effective schools. Not only do schools make a difference, but principals in such schools also make a difference.

Perhaps the single most important contribution of the lines of research on effective schools is the cumulative impact these have had on first challenging, and now superseding, the belief that "schools do not make a difference."

Because of the rich detail of these studies, with their improved research on school processes, they do not provide a common recipe of detailed principal behavior which can be thoughtlessly followed. Nor does the research on effective schools offer a magic potion of instant school transformation. It does, however, provide broad agreement on several fundamental areas of effective schools and their leaders.

These can be distinguished as: the culture of the school and the principal's strategy and tactics. While the evidence gives no basis for selecting a particular design for a school improvement program, it does identify characteristics of school effectiveness.

The research descriptions of effectiveness are universally multi-level characteristics paying tribute to the awareness that schooling is a multifaceted synthesis of many interwoven continuous processes. None of its components can be considered as context free or usefully implemented in isolation from the others.

Paradoxically, this also means that local and site level situations are part of a particular school's synthesis of effectiveness. There is a consistency in principles of effectiveness; but each school, its principal and faculty, must implement them in ways that reflect its unique situation.

The School's Culture

Studies of effective schools display a culture of mutually reinforcing subsystems of activities, beliefs, and expectations. The school as a whole and schooling as a process of intertwined strands, moving toward learning achievement with a specific and historically changing environment, interacts to facilitate its own dynamics. A broader construct than the familiar educational school climate is needed to capture this totality.

The concept of a corporation's culture as used by Peters and Waterman's analyses of the "best-run American companies" comes nearer to capturing this whole. A more precise term used by

5. W. B. Brookover et al., *School Social Systems and Student Achievement: Schools Can Make a Difference* (New York: Praeger, 1979); W. B. Brookover et al., *Creating Effective Schools* (Holmes Beach, Fla.: Learning Publications, 1983); R. R. Edmonds and J. R. Frederickson, *Search for Effective Schools* (Cambridge, Mass.: Center for Urban Studies, 1978); G. F. Madus et al., *School Effectiveness: A Reassessment of the Evidence* (New York: McGraw-Hill, 1980).

Bhagat and McQuid is *subjective culture*.[6] It refers to a group's characteristic way of perceiving its social environment in terms of its "belief systems, attitude structures, stereotype formations, norms, roles, ideologies, values, and task definitions."

The value and belief systems of the school's populations, administrators, teachers, and pupils, display a definite relationship to achievement. An emphasis on academics with a belief in student achievement is one strand in the culture of effective schools.

Not surprisingly, high school learning environments that emphasize academic success are related to student aspirations.[7] The most common attitude of high achieving schools is confidence in student ability to succeed academically. This is matched by the level of expectation administrators and teachers hold for themselves and each other.

Clearly defined school goals delimiting parameters of behavior are also associated with high performing schools. Similarly, consistency in school values, in rules, and in administering rewards and punishments, improves school coherence and student behavior as well as relating to academic achievement. Consensus among school populations, even more than consistency on curriculum matters and discipline, appears related to high performance. Such consensus, reflected in mutually supported student peer norms and teacher norms, is shared by administrators.[8]

The school's subjective culture is reinforced by ceremony and symbol. Rewards and praise in high performing schools are public and frequent.[9] Symbols and ceremonies at odds with other properties of the school, such as the norms of its population and its emphasis on academic success, obviously reduces its subjective culture's coherence. When symbol and ceremony fit student perception that teachers care about their achievement, and the perception of teachers that administrators place improved student performance foremost in their orientation toward their own jobs, then a strong and consistent school cultural consensus provides an adequately tight system of control. This, in turn, allows for more effective teaching strategies and tactics in the classroom.

The research on effective schools also indicates that the principal is pivotal in bringing about the conditions which characterize effective schools.

The research on effective schools tells us that the principal is pivotal but tells us less on what the principal does to

6. R. S. Bhagat and S. J. McQuid, "Role of Subjective Culture in Organizations: A Review of Directions for Future Research," *Journal of Applied Psychology Monograph* 67 (1982): 653-658.
7. J. V. Mitchell, *A Study of High School Learning Environments and Their Impact on Students*, U.S. Office of Education, Project No. 5-8032 (Rochester, N.Y.: University of Rochester, 1967).
8. E. L. McDill and L. C. Rigsby, *Structure and Process in Secondary Schools: The Academic Impact of Educational Climates* (Baltimore, Md.: Johns Hopkins University Press, 1973).
9. Brookover, et al.; *School Social Systems and Student Achievement*; Rutter, *Fifteen Thousand Hours*; E. A. Wynne, *Looking at Schools: Good, Bad, and Indifferent* (Lexington, Mass.: D. C. Heath, 1980).

influence the school's culture. It does provide some useful summary observations beginning with the principal's own orientation.

Principals of effective schools are first of all oriented toward the achievement and welfare of students. This is their predominant role value. Their self-image is as instructional leaders responsible for making sure the students in their schools are given the best possible programs.

Principals are especially clear about their goals, both short and long term. These focus on academic achievement and include concern for the particular specific social and human problems of their specific student populations. This orientation appears not as a compromise of humane and achievement values, but rather the necessary combination for academic achievement.

They are guided by this primary value in their behavior, language, and decision making in all their role relations. They not only talk up their student achievement goal in all of these relations; they also orient themselves toward students, teachers, parents, the school district's central office, and the school's attendance area publics in terms of this overriding goal.

Where district problems in the achievement of instructional goals are seen, they are ready to mobilize their own energies and those of the school staff in solving such problems. Their primary orientation with students is achievement, with teachers it is program improvement and positive interpersonal relationships.

The effective principal works toward the improvement of human relations, administrative routines, and instructional leadership as aspects of carrying out the goal of school achievement. Since the task of school curriculum and instructional improvement takes time, substantial support is often needed from parents, the neighborhood, and central office. They view their relationships to parents, the school district's central offices, and the wider school community as instrumental relationships in the delivery of more effective school programs rather than as separate units to be kept apart and at a distance.

Principals of effective schools are first of all oriented toward the achievement and welfare of students. This is their predominant role value.

In sum, the evidence suggests that effective principals display a consistency and coherence of behavior across the range of their multiple relations. In many ways they model in these relations the organizational culture of effective schools. Their administrative strategies and tactics are consistent with their clear articulation of achievement goals; they play a part in developing consensus and the school subjective culture of excellence.

Principal Strategies, Tactics

Two general findings are common to the work on America's best-run companies, effective school principals, and "high performing systems."[10] Their re-

10. P. Vail, "The Purposing of High Performing Systems," *Organizational Dynamics* (II Autumn, 1982).

sources and energies focus on clearly defined basic purposes. Their leaders have future vision of their organizations and of their role in making that vision a reality.

The overall internal organizational strategy of effective organization leaders is a combination of what Peters and Waterman call loose-tight properties.[11] They encourage—especially at the delivery point of the school's services—entrepreneurship, autonomy, trial and error learning through small scale experimentation, a climate conducive to risk taking and continuous growth of the school, its subunits, and of individuals.

At the same time this loose direct supervision is indirectly and tightly limited within the parameters—a zone of tolerance—defined by task accomplishment goals of student achievement with clear accountability of all the school populations and continuous monitoring of processes and achievement results. Essentially their strategy is to centralize the school especially through cultural consensus on core values and purposes and decentralize everything else.

In their tactics they accept the reality of schools as loosely coupled organizations, or as organized anarchies; they control indirectly by careful use of rituals, slogans, symbols, organizational myths (task-related stories with a moral), and selective centralization to bind the system together. Their tactics similarly take advantage of the essential daily character of school administration, i.e., its constantly interrupted, unpredictable, hectic, and discontinuous work flow.

The nature of this work flow becomes for most school site administrators the explanation for isolating themselves, for being overburdened with administrative tasks, for lack of planning and especially for lack of time to engage in curricular and instructional leadership. In the process they become reactive in their wide range of relations, external and internal.

High performing principals in contrast take the disparate actions required by their discontinuous work flow in terms of their student-achievement, goal-oriented frame of reference. They display skills at sensing opportunities for generating and strengthening commitment to the school's core values in the process of dealing with the flow of petty as well as larger demands for their attention.

Since the task of school curriculum and instructional improvement takes time, substantial support is often needed from parents, the neighborhood, and central office.

Their actions and interpersonal interactions are contextually grounded in their vision of the school. Their information sensing, analytic abilities, cognitive skills of monitoring processes, perceptual ability to recognize patterns are above those of average principals.[12]

11. *Ibid.*

12. S. Huff et al., *Principal Differences: Excellence in School Leadership and Management* (Boston: McBer and Co., 1982).

It is possible that these differences reflect their consistent orientation as much as or more than basic ability.

In any case, without sacrificing careful handling of details, positive interpersonal relations, or use of routines, effective principals make time for instructional leadership, monitor curriculum implementation, and are active initiators of change in their wide range of relations. Given commitment to the instructional program, student achievement, and their welfare as their first priority, it may not be surprising that such principals will sometimes knowingly sacrifice short-term feelings of staff, if getting a task done in the present is necessary for the success of the longer-term goals. But on the whole their interpersonal relations tend to improve the school's climate.[13] This probably reflects their culture building and consensus-strengthening strategy.

Being positive, cheerful, and encouraging, making themselves accessible to staff, making their presence felt often by moving around the building, doing things with teachers, involving them and getting staff to express, often set, their own goals are overlapping characteristics of positive school climates and effective school principals.[14] Improving communications within and among the school's populations are similarly overlapping.

Implicit in the tactics of principals of effective schools is a high degree of variability in specific actions and administrative styles. This is also true of specific substrategies in developing positive school climates and in ways and degrees of involving staff in decision making on curriculum, instruction, and the technical work of the school.

As stated earlier, they display skill in synthesizing the disparate daily events and potentially conflicting demands of the school's and their own work flow. These require ability at situational analysis and at capitalizing on specific situational variations to mobilize these toward the school's achievement goals.

Because principals cannot provide superior expertise on curriculum, instruction, and the technical aspects of pedagogy across a wide spectrum of specialized fields, effective leaders use the expertise and leadership resources of their staffs.

As already noted, the unique local and site level situations are part of a school's synthesis of effectiveness. The principal's personal characteristics are also part of the amalgam of effective leader behavior. Given this set of multiple complex variables, no list of "best practices," narrowly defined attributes, or cluster of highly reliable bits of behavior is likely to be a valid prescription of tactics for becoming an effective principal. The tactics used by them display great variation among such principals and probably by the same principal in various situations.

In sum, principals of high performing

13. C. S. Anderson, "The Search for School Climate: A Review of the Research," *Review of Educational Research* 52 (1982): 368-420.

14. K. A. Leithwood and D. J. Montgomery, "The Role of the Elementary School Principal in Program Improvement," *Review of Educational Research* 52 (1982): 309-339.

organizations display a pattern of three major aspects:

- Their orientation is consistently bent toward the school's success at student achievement.
- Their stance toward strategy is a process one within the parameters of that orientation.
- Their tactics are highly variable but simultaneously contextually biased by their orientation and basic strategy stance.

The instructional leadership of such principals is consistent with this pattern. An indirect rather than a direct model of instructional management is used. They stimulate goals and monitor the outcomes of instruction. They allow considerable staff latitude on how to achieve the goals.

Principals setting the agenda of excellence in appropriate terms for their own schools will be setting the stage of dialog, debate, or political conflict; the outcome depends partly on local conditions and how they do it.

Because principals cannot provide superior expertise on curriculum, instruction, and the technical aspects of pedagogy across a wide spectrum of specialized fields, effective leaders use the expertise and leadership resources of their staffs. As they identify other sources of leadership in their staffs consistent with the school's goals, they use these as a substitution for their own leadership activities shifting their own leadership energies elsewhere.

The same pattern of culture building, strategy, and tactics is used by effective principals in building school-community policy toward the district, neighborhood, and parents. Rather than trying to wall the school off from external interventions, they act to influence their school's organizational environments.

Their tactics may, for example, involve initial accommodation to external demands for change rather than resistance. In the process they reshape such demands in terms of their vision for the school and its goals. Over time they tend to select among the range of external demands ones they can respond to as consistent with their vision and ones they can reshape toward the student achievement goals of the school.

Conclusion

Today is an opportune time for school administrators to exercise leadership in curriculum development. It can, however, become a threatening condition. The choice schools face is whether they will propose the agenda of specific, local, and site level situational operational redefinitions of excellence their conditions require, or allow that agenda to be set by others. Principals setting the agenda of excellence in appropriate terms for their own schools will be setting the stage of dialog, debate, or political conflict; the outcome depends partly on local conditions and how they do it. Even in the worst case scenario of agenda setting for conflict, the advantages usually accrue to those who set the agenda, not to those who must respond to it.

3. The Principal as a Personnel Administrator

The importance of human resources to the success of virtually any enterprise has long been recognized. In industrial enterprises people design the products, program the computers, push the buttons, operate the machinery, and consummate the deals. The quality of the human resources available to an industrial enterprise is often the most significant difference between success and failure in a highly competitive world. The price of a company's stock may even rise or fall with a change in management that investors see as a significant shift in the value of human resources available to the company.

In the educational enterprise human resources are no less important. In fact, there is reason to believe that people may be even more important. The educational enterprise is people-intensive, with more than three quarters of the operating budget in most school districts going to salaries and fringe benefits for employees. The product of schooling is learning, and learning occurs through that extremely complex and human endeavor we know as teaching. The more effective our teachers, the more learning that occurs and—ultimately—the more successful the educational enterprise.

Among the many hats the principal must wear is that of the personnel administrator. Personnel administration is a term used to describe a series of functions devoted to the procurement and development of human resources for the organization. Among these functions are manpower planning, recruitment, selection, placement, evaluation, development, compensation, and separation. All principals must perform some, if not all, of the functions listed above.

Shortages in critical teaching areas, an emphasis on decentralized staff selection, increased accountability measures, and a host of other considerations serve to make personnel administration crucial to the success of principals and their schools. The articles selected for inclusion in this section offer practical suggestions to help principals perform some of the key personnel functions with a higher degree of success.

Engal and Nall suggest that administrators need to be familiar with the reasons teachers accept employment if they wish to improve the results of recruitment

efforts in areas of teacher shortages. The authors report the results of a study of teacher recruitment practices and teacher reasons for accepting employment in small and medium-sized districts. The study is the basis for several practical suggestions to improve teacher recruitment in smaller districts.

Although a number of data sources have traditionally been used in the teacher selection process, the personal interview has often been the deciding factor. Vornberg and Liles offer a comprehensive checklist as a guide to structuring the interview process to obtain the maximum amount of new information about candidates for teaching positions.

Why do many good young teachers leave the profession after only a year or two in the classroom? What can principals do to help ensure the retention of promising young teachers? Armstrong suggests an approach to teacher orientation that will help bridge the gap between student teaching and the demands associated with adjusting to first-year teaching.

Richard Larson believes that the most important task for school administrators is "to make judgments regarding the quality of school programs and the effectiveness of staff members." He also believes that if this task is properly done, student learning will improve and the work environment for teachers will be greatly enhanced. Larson shares his views on how administrators can develop an evaluation system that will motivate teachers and still be consistent with administrative responsibility to ensure teaching accountability.

Joseph Rogus maintains that we can now answer the question, "What makes for an effective staff development program?" His article is an attempt to do just that. He provides both a research-based checklist of exemplary practices in staff development programming and a detailed example of how specific program activities can be planned.

Recruiting Shortage Area Teachers: Is There a More Effective Way?

What does it take to improve one's teacher recruiting practices? The writers attempt to answer this question by offering nine guidelines.

By Ross A. Engel and Roger L. Nall

How good are your recruitment practices? Are you able to attract teachers in science, mathematics, and other areas of shortage?

A recent study of teacher recruitment efforts and reasons shortage area teachers give for accepting employment indicates that some recruitment activities might be more valuable than others in attracting teachers to the places where their services are so badly needed—small and medium-sized school districts.

In the study of 34 small-sized (950 enrollment and fewer) and 34 medium-sized (951-2,000 enrollment) districts, questions were asked about their administrative recruitment activities and their perceived value. Other questions dealt with administrative time devoted to these activities, and telephone and travel costs expended for teacher recruitment. Recently hired shortage area teachers in the disciplines of mathematics, science, agriculture, industrial arts, and learning disabilities were then asked to complete a survey designed to measure the relative strength of reasons important to them in accepting employment in their respective districts.

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Reasons for Accepting Employment

Forty-five reasons were presented to the teachers from which they could choose the ones most important to them. Proximity to the spouse's job (where it applies), friendliness of administration,

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discipline, salary, facilities, personal growth, competence of staff, and philosophy of school were the most important reasons and appear in this list in descending order of importance. The characteristics or attributes judged by the applicant to be positive or favorable were the factors that most influenced them to accept employment.

Teachers in medium-sized districts indicated that status of the job, reputation of the district, policies, and discipline were significantly more important to them than they were to teachers in smaller-sized districts.

With the current state of collective bargaining, it is interesting to note those reasons that were least important in shortage-area teachers' decisions for accepting employment in the places they did. Dental insurance, absence of extra duties, inservice, coaching/extra duty pay, teacher associations, and school building size were all reasons judged relatively unimportant by teachers in this study. It would appear only the latter could not be directly associated with benefits sought at the bargaining table.

Among unsatisfactory employment conditions listed by teachers who had been in their present position up to three years, the following three stood out: teacher load, poor discipline, and lack of trust in leadership.

Recruitment Costs

In terms of budget for recruitment activities, small-sized districts spent an average of $3.02 per student per year on recruitment activities, while medium-sized schools spent only $.92 per student per year on the same activities. Schools within 20 miles of a city of 20,000 or more spent $1.36 per student per year on recruitment activities, while school districts further away spent $2.09 per student.

Even though relatively little was spent on attracting teachers to their districts, superintendents did feel generally that recruitment efforts in the districts were important in relation to the quality of candidates eventually employed.

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A somewhat oversimplified procedure was used to calculate recruitment costs. An estimate of administrative time devoted to recruitment activities was obtained for all persons involved. This figure was multiplied by $17 per hour (an estimated average amount paid per hour to Iowa administrators in 1981) plus $.20 per mile traveled, plus telephone costs. This total was then divided by the schools' average daily membership. Costs for advertising, printing, and secretarial time were not included.

Suggestions for Improved Recruiting

The data from the study coupled with a review of the literature and experience gained in educational consulting with administrators lead to the following plan of action for districts desiring improvement in their teacher recruitment programs.

1. *Continuous effort.* Many of the efforts in recruiting should not occur

primarily in April and May. They should be planned to occur throughout the school year. Activities such as contact with university placement offices and long-term planning by the administrative team could be carried out over much of the school year. Specifically, working through district faculty to identify prospective employees should be a year-round activity.

2. *Commit the administrators' recruitment plans to writing.* A written plan of action for recruitment, agreeable to all administrators in the district, is important. It helps to focus energies and resources on specific actions. This plan need not be a formal, board-adopted policy, but rather a simple series of statements focusing on recruitment and each administrator's major responsibility in it.

3. *Awareness of teacher reasons for accepting employment.* Administrators in small and medium-sized districts who have teacher recruitment responsibilities should be aware of the reasons teachers give for accepting employment in the places they do, particularly at the initial visit with prospective candidates. The influence of a spouse's job (where it applies) as well as awareness of other strong reasons would seem to be helpful in planning: friendliness of administration, discipline, salary, facilities, personal growth, philosophy of school, competence of staff, chance to use special skills, friendliness of staff, and teacher load were all shown to be important in this study.

4. *Use an employed teacher to help during a candidate's initial visit.* Administrators should consider the possibility of using a currently employed teacher to help with a candidate's initial visit for two reasons. First, seek the help of a currently employed teacher who is friendly. This characteristic was an extremely strong reason shortage area teachers gave for coming to their districts. Perhaps the currently employed teacher could take the prospective candidate around on a building tour.

In addition, the helping teacher could also discuss during the visit other strengths of the district that relate to reasons teachers in this study gave for accepting employment initially: discipline, salary, facilities, personal growth, philosophy of school, competence of staff, chance to use special skills, and teacher load. This assumes, of course, the district has something to be proud of in some of these categories. Any currently employed teacher willing to agree to lead a building tour would probably feel generally positive about the district, its community, and its leadership and would tend to speak of things which were currently satisfying to them.

5. *Look inside the district first.* The results of this study suggest that school administrators could well spend more effort in first using their own resources and staff. Although three of the areas presented below are elaborated upon in other recommendations, the list is representative of those within-district activities that could profitably receive more attention from district administrators.

a. Develop a good district recruitment brochure.
b. Help a currently employed teacher to obtain certification in a shortage area.
c. Prepare a long-term administrative plan (related to recruitment).
d. Enlist the help of currently employed

teachers in the district's recruitment program.

e. Ask currently employed teachers for recommendations of outstanding colleagues.

6. *Develop a good district brochure.* Besides imparting information of a general nature about the district to prospective candidates, a brochure has three goals:

- First, a brochure presents a strong initial impression of a district administration that cares enough to spend time creating a high quality brochure. A brochure can be sent in response to any lead or initial inquiry from an applicant.
- Second, it provides a concise format in which to present not only a picture of the school and the surrounding communities, but also to present the challenge of the job, its opportunities, and the district's expectations of its employees.
- Third, a prospective candidate can begin to weigh information from the brochure about which of his or her reasons for accepting employment might be met if employment in the district were accepted. It would be wise to present in a most favorable way those things already suggested in this study as being of prime importance to prospective employees.

7. *Help a currently employed teacher to gain certification in a shortage area.* Unless the constraints of state law or limits of a master contract would prohibit it, a stipend could be provided in which a portion of all tuition, fees, and university room and board could be provided by the district for a teacher wanting to obtain certification in a shortage area. In return, the teacher could agree to remain in the district paying these expenses for a specific period of time after completion of the course work. It would seem that both the teacher and the district would benefit from such an arrangement.

In terms of helping create interest of currently employed teachers in the shortage areas, perhaps a one or two-day experience with a teacher in the shortage areas in a situation very similar to "job shadowing" would be helpful. It would give the prospective teacher in the shortage area a "feel" for the job and in so doing give an experience to that teacher that would enable him or her to test real skills and also to determine new skills that would have to be learned.

8. *Share responsibilities for recruiting with other districts.* It is not uncommon for two small school districts to share vocational agriculture or learning disability teachers. A natural outgrowth of the shared teacher concept would be for the districts to begin working jointly on recruitment activities. There are trends which will make cooperative efforts in teacher recruitment more attractive to smaller districts in the future. The financial stress placed on districts generally by declining enrollment will create a more favorable climate within which cooperative efforts may grow.

Data from this study indicate that smaller districts use a larger proportion of their actual budgets (per student) for their recruitment programs than do larger districts. Not only is the need for shortage area teachers expected to remain strong, but proportionately more diminishing resources must be spent for recruitment activities. This, indeed,

presents a difficult dilemma for small school district administrators. Forming a multi-district recruitment consortium either by size or geographic location of districts might prove to be effective in the future.

Data from this study indicate that smaller districts use a larger proportion of their actual budgets (per student) for their recruitment programs than do larger districts.

9. *Long-term planning*. Few of the districts surveyed indicated that they did long-term planning, even though they described it as important. Information from this article might well provide the springboard for discussion within a district's administrative staff. Generally, it is suggested that materials from this study may be valuable to focus discussion upon improving an administrative team's teacher recruitment program. Following is a list of question areas that might help to begin such an effort.

1. Which administrator will coordinate recruitment efforts for the district?
2. Have administrators effectively and realistically identified the strengths of this district? In other words, what does the local district have to offer a prospective candidate?
3. What recruitment activities are being used now? Which of these tend to be underused? Which tend to be overused?
4. Are there activities that could be incorporated into the total recruitment program to make current efforts more effective in attracting candidates the districts want and need?
5. When is the optimum time to begin each activity? How often should each occur? Which activities should be continuous throughout the entire year and which should be cyclical? In other words, who should contact the university/college placement offices and how often are they to do it?
6. Have all the resources been identified? Are there additional staff, business leaders, service club representatives, community, and other volunteers who could provide assistance to the recruitment team in the future? Have adequate administrative team time and adequate budget been set aside?
7. Who will assume major responsibility for each activity?
8. How will the person with responsibility report progress to other team members? How will the team report to its constituents?
9. When will the administrative team meet to evaluate its progress? How will progress be measured in the district?

Conclusion

It has been quite evident that by comparison the private sector expends more effort and certainly a lot more money to recruit top personnel into their organizations as a way of staying competitive. Engineers, scientists, and top managers today seem to be most heavily recruited. It is in the elementary and secondary classrooms that these people get their start. Is there any good reason for not redoubling our efforts and monetary commitments to recruiting the very best teachers available? Even looking at it very selfishly, the efforts expended up front to get the best pays off in reduced need for close supervision and staff improvement once on the job! Who needs more headaches?

Improving the Process

Taking Inventory of Your Interviewing Techniques

James A. Vornberg
Kelsey Liles

This writer provides a checklist that can be used by administrators who wish to evaluate or restructure their interviewing techniques.

Principals can devote considerable time during the spring and summer months to interviewing potential faculty members. The task is usually a difficult one, since the objective is to select the most suitable candidate for a specific position.

A number of helpful resources are available, however. These include:

1. The application form, which may include a cover letter.
2. Professional certificates and transcript of academic preparation.
3. A resumé.
4. Letters of reference.
5. Telephone calls to former employers.
6. Results of screening tests such as N.T.E.
7. The personal interview.

The interview is a very important source of data; in many cases it is the deciding factor. The interview can, if effectively used, help the administrator learn about the personality and values of an applicant. It cannot, however, tell

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how the candidate did perform in the past or will perform in the future.

The purpose of the interview is to gain information and impressions that cannot be obtained from any other source (Castetter, 1976). The interviewer may check the reliability of information documented on the formal application, gain information about the applicant's expertise in desired areas, and establish the applicant's ability to reach his teaching potential (McCallan and McCray, 1975).

A 1972 study indicated that more than 85 percent of the principals responding saw the interview as a very significant factor in teacher selection. Even so, Thayer (1978) indicated that many administrators believe they ask penetrating questions but do not know whether or not the answers are appropriate. Often the administrator hires the applicant who seems to reflect his own attitudes.

Techniques can be developed that will assist in structuring the interview process. These techniques may be placed in four general categories:

1. Techniques to help relax the candidate.
2. Techniques to help the candidate openly express him or herself.
3. Techniques that help the interviewer to evaluate teaching competence.
4. Techniques that help the interviewer evaluate the candidate's enthusiasm for teaching.

Preparation Before the Interview	**Yes**	**No**
Know the job analysis for the position	_____	_____
Examine the screening documents prior to the interview	_____	_____
Prepare/memorize a list of questions to be focused on during the interview	_____	_____
Execute your plan with no greater formality than in a common business conversation	_____	_____
Techniques To Help Candidate Relax		
(Nonverbal techniques)		
Extend a friendly greeting	_____	_____
Be relaxed yourself during the interview	_____	_____
Show sincere interest in the applicant	_____	_____
Do not let interruptions interfere with the interview	_____	_____
(Questioning strategies)		
Tell the applicant that you appreciate his/her interest in your district	_____	_____
Ask the applicant what he/she has enjoyed most about his/her teaching career	_____	_____
Ask the applicant how he/she liked his/her previous teaching experience	_____	_____
Ask the applicant to tell you about his/her last school	_____	_____
OR		
Ask questions about college experiences	_____	_____

Ask the applicant why he/she is applying in your district	_____	_____
Ask the applicant about the most pleasant and the least pleasant aspect of his/her student teaching experience	_____	_____
OR		
Ask about past teaching experiences; most pleasant and least pleasant	_____	_____
Techniques To Assist the Applicant To Express Himself or Herself Openly		
(Nonverbal techniques)		
Listen attentively	_____	_____
(Questioning strategies)		
Ask the applicant what he/she would like to know about your district	_____	_____
Use open-ended questions that the applicant can expound upon	_____	_____
Open with easily answered general questions, then use more specific ones	_____	_____
Ask the applicant his/her philosophy of classroom management	_____	_____
Ask the applicant what teaching methods he/she used in other positions	_____	_____
Ask the applicant about his/her professional goals	_____	_____
Ask about life goals and career goals	_____	_____
Ask about past teaching experiences in general terms	_____	_____
Ask about special interests, talents, or hopes	_____	_____
Evaluating Teaching Competence	**Yes**	**No**
(Nonverbal techniques)		
Look for that attitude of professional caring and a positive attitude toward children	_____	_____
Attempt to make an objective judgment about the applicant's ability to express himself/herself in a convincing manner	_____	_____
Try to sense the applicant's dedication to children and his/her willingness to work through inflections and nonverbal behavior	_____	_____
Determine if the experiences he/she shares are positive ones	_____	_____
(Questioning strategies)		
Ask how he/she provides for the advanced student, and the average student	_____	_____
Ask the applicant what discipline measures he/she utilizes	_____	_____
Ask questions related to actions rather than mere philosophy	_____	_____
Ask the applicant how he/she handles individual differences	_____	_____

Ask the applicant to tell you about motivational techniques that he/she has found productive	_____	_____
Ask the applicant to explain his/her expectations of classroom atmosphere	_____	_____
Ask the applicant what constitutes a good teacher	_____	_____
Ask specific questions about applicant's teaching skill development area	_____	_____
Ask the applicant what reading methods he/she utilizes	_____	_____
Ask the applicant about positions of responsibility that he/she has held, such as department chairperson, curriculum planner	_____	_____
Ask the applicant what he/she has done to help students to learn better	_____	_____
Evaluating Enthusiasm Toward Teaching as a Profession		
(Nonverbal techniques)		
Look for a genuine liking for people in the applicant	_____	_____
Look for a pleasing personality	_____	_____
Look for a sense of humor in the applicant	_____	_____
Watch the response in the applicant's eyes as he/she describes teaching experience	_____	_____
(Questioning strategies)		
Ask about specific activities he/she uses to make the classes exciting for students	_____	_____
Ask why he/she chose teaching as a profession	_____	_____
Ask the applicant why he/she became a teacher	_____	_____
After the Interview		
Record your evaluation responses immediately following the interview, including specific annotations concerning the candidate	_____	_____

Utilizing these four categories, a Delphi study was conducted with Texas school personnel directors to identify the techniques that are most used in interviewing candidates (Liles, 1981). The results of that research are assembled here in checklist form to assist the administrator in evaluating the techniques used in the interview process.

The checklist is not used to evaluate one's techniques against a standard. It may be used, however, to inventory your interviewing techniques to determine if you are including the items deemed most important by personnel directors. All questioning strategies need not be pursued, as the questions often overlap one another. Most important is that an accurate observation be made in the areas of concern.

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New Teachers: Why Do They Leave and How Can Principals Retain Them?

Good beginning teachers often leave education after a year or two in the classroom. The writer first explores the reasons and then provides a plan of action that principals can follow.

By David G. Armstrong

Good teachers are scarce in the best of times; but they may become even harder to find in the years ahead.

For example, in fall 1985 about 40,000 more new teachers will be needed than will have been graduated from university teacher preparation programs. If accurate, this projection suggests that today's administrators will have to work harder than ever to retain new teachers of promise.

Why Teachers Quit

A common thread running through one's decision to leave teaching is a dissatisfaction with the conditions of professional practice. The tremendous variety of settings in which teachers work and the widely divergent expectations placed on teachers in different schools are well known. We all know that the kinds of generic competencies beginning teachers have may result in stellar performance and immense personal satisfaction in one setting and a dismal record accompanied by self-doubt in another.

Efforts to convert this general concern into a plan of action to help beginners, however, have been minimal (Grant and Zeichner, 1981). The importance of the initial setting to a teacher's decision to stay or not to stay in teaching is critical.

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> The conditions under which a person carries out the first years of teaching have a strong influence on the level of effectiveness with which that teacher is able to achieve and sustain over the years; on the attitudes which govern teacher behavior over even a forty-year career; and, indeed, on the decision whether or not to continue in the teaching profession. (National Institute of Education, 1978, p. 3)

Education's Social Structure

A part of beginning teachers' adjusting to the profession relates to their ability to come to terms with the very special social structure of schools. Basically, they are very conservative places. Edelfelt in 1979 noted that there is a hierarchy, a power structure built into any school system designed "to protect against or resist radical change," and, "any attempt to alter the social system of the school . . . will quickly run into . . . barriers." (p. 365).

Pair this information with a finding by Erlandson and Pastor (1981) that teachers with the highest potential for success tend to prize such values as "freedom and independence," "expression of creativity," and "challenge" (p. 6).

Clearly there is a conflict between the basic social structure of schools and the primary values of individuals who might make important contributions in the classroom. Given this conflict, it is not surprising that many potentially good teachers find themselves unable to acclimate to the constraints within the educational system.

The tragedy here is that neither schools nor potentially outstanding teachers are frozen in value positions that are hopelessly at odds. Certainly schools do not embrace rapid change as a high priority value.

On the other hand, schools are responsive to societal pressures. Anyone who would look at programs in schools today and those of 20 years ago would find many differences. For example, consider changes in treatment of handicapped youngsters, bilingual children, and athletically talented females.

Schools have changed more rapidly than their basic value orientation might suggest is possible. Similarly, though beginning teachers of high potential might espouse core values supporting free-wheeling personal action and rapid change, it is possible that, in practice, they might accept a more modest rate of innovation.

Schools have changed more rapidly than their basic value orientation might suggest is possible.

This seems especially probable under conditions where starting teachers would be provided with opportunities to participate in decision-making processes that might lead to eventual, if not immediate, changes of conditions in the schools. The work of Erlandson and Pastor suggests that teachers of high potential strongly prize opportunities to have substantive involvement in decision making.

The key here is that something needs to be done to introduce bright new teachers to the nature of the social system of the school in a formal and systematic way. They need to understand

how decisions are made and how they can influence decisions.

Above all, it is critical that they not be made to feel that they are powerless puppets who must dance in response to strings pulled by others. Teachers who

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feel they are part of the decision-making process feel better about themselves. This attitude makes them more inclined to commit to education on a long-term basis and to feel more adequate as human beings.

Competing Roles Teachers Play

In addition to being provided opportunities to influence decisions, beginning teachers need to understand that they will be required to balance many competing roles. Experienced teachers have worked out relationships among the many roles they must play, but beginners may need help in this area.

Gehrke (1982), in a report of a longitudinal study of beginning teachers' adjustment to the profession, has noted that new teachers have difficulty in striking an appropriate balance between their role as classroom teachers and their role as spouses. Too much attention to one or the other can result in a feeling that responsibilities in one area are not being attended to adequately. As a result, beginning teachers often develop heavy feelings of guilt.

Traditionally, beginning teachers have been advised that any feelings of role-related stress may go away after they have survived the first year of teaching. But Gehrke's studies reveal that role conflicts are a persistent feature of teaching, and all teachers must make some accommodations to them throughout their careers.

Given this reality, it makes sense for administrators to develop a system for helping newcomers to teaching understand that they are not alone in their frustrations with balancing competing role obligations. Arrangements need to be made for newcomers to be exposed to insights from more experienced hands who have had to make many difficult role-balancing decisions through the years.

Bridging the Gap from Student Teaching

In addition to frustration as they attempt to balance competing role obligations, many beginning teachers are shocked at the abrupt transition from the supportive environment of student teaching to a real first-year teaching situation when visits from administrators or other teachers may be few. Because of multiple demands on principals' time, beginning teachers are not likely to have frequent visits from the principal.

For a new teacher used to weekly visits and regular feedback from university supervisors and cooperating teachers, the absence of continued professional counsel can be distressing. This is all the more true given the isolated nature of instructional practice in many secondary schools. Erlandson and Pastor have commented:

> . . . Teaching is a lonely profession if regular contact with colleagues is the criterion. Most schools are still structured in a way that makes the teacher the only adult in the classroom once the class begins and the door closes. (p. 7)

Clearly, a program is needed to bridge the gap between student teaching and the demands of the first year of teaching. Also needed are continued support in the instructional area and also a system to help the newcomer understand the general operational and social context of the individual school. Responses to these needs might well include experienced teacher mentoring programs, in-service programs targeted specifically at new teachers, and regularly scheduled meetings between new teachers and key administrators.

Helping New Teachers Adapt

In addition to problems beginning teachers tend to experience regardless of where they teach, other problems might be described as site-specific. For example, a given school may have a concept of good or appropriate instruction that varies greatly from what another school might view as good or appropriate instruction.

Given this possibility, a person who might be regarded as doing a fine job at one school might be seen as doing very poorly at another. To illustrate differences in instructional expectations, let's suppose there were three different schools. Each had one of the following orientations (adapted from Haberman, 1982):

1. Therapeutic/compensatory orientation;
2. Intellectual orientation
3. Life-centered orientation.

1. Therapeutic/Compensatory Orientation

In this school, an assumption is made that youngsters have a certain handicap or a deficiency that stands in the way of mastery of content. Objectives of learning are clearly understood by all staff members. Diagnostic activity seeks to identify specific areas of weakness with respect to these objectives. Instruction consists of teacher prescription of direct instruction, of reading, of working with support equipment, and of other activities designed to remediate these deficiencies.

Clearly, a program is needed to bridge the gap between student teaching and the demands of the first year of teaching.

Teacher creativity exists only within constrained limits. The teacher can modify the program or the mode of delivery for a given youngster, but the objectives are given.

Flexibility and imaginatively different instruction are not prized in this orientation. A teacher willing to accept the given program assumptions might flourish here. Another, unable to commit to these assumptions, might well be perceived as a mediocre teacher.

2. Intellectual Orientation

The purpose in this school is to provide instruction that encourages youngsters to pursue ideas. Higher-level thinking is prized. There is an emphasis

on mastery of processes of learning rather than of specific, isolated pieces of information. Whether a given topic has practical value is not necessarily a matter of great importance. The critical feature of this orientation is the development of youngsters' capacity to think. The teacher who can produce such learners generally will receive high marks from administrators. On the other hand, a teacher oriented toward remediating specific content deficiencies might not be so highly regarded here.

3. Life-Centered Orientation

The main objective of instruction in this school is to break down barriers that are thought to stand between the student and the "real world." Teacher practices that involve youngsters in out-of-school experiences are favored. A teacher skilled at arranging field trips, internships, and classroom teleconferences might receive high marks from administrators. Evaluations based on this view of teaching might be much less positive in schools with either a therapeutic/compensatory orientation or an intellectual orientation.

Because schools vary in terms of their performance expectations of teachers, new teachers should be apprised of the orientation of the school to which they will be assigned. Expecting new teachers to do well without providing them with site-specific standards for "good" or "effective" teaching is unrealistic.

In addition to providing new teachers with information about the general orientation of the school program, it also makes sense for initial teaching assignments to be carefully matched to teachers' major areas of preparation. More often than we might like to admit, new teachers have been assigned to teach courses for which they have had minimal preparation. Sometimes, too, pressures from politically influential, old-line staff members have resulted in newcomers being assigned to teach class sections filled with large numbers of unresponsive and difficult-to-manage youngsters.

Anyone who has ever attempted to work out a scheduling matrix for a large school understands that it is not always possible to provide new teachers with an optimal array of classes. But, to the extent possible, every effort should be made to assign them to classes where there will be a high potential for them to succeed.

Beginning teachers are notoriously short on self-confidence. A good experience during the first year or two in the profession can build a foundation for a solid commitment to teaching. A bad experience can set the stage for a hasty exit from education.

A Plan for Action

Concerns about inducting newcomers to the profession in a way that will pave the way for a long-term commitment to teaching include the issues here and others. While drawing attention to these issues is an important first step, definitions of dimensions of the problem will not move it along toward resolution.

What is needed are concrete plans of action that arise out of careful consideration of these issues. These plans can lay out responses that might be appropriate for a given school or group of schools. The specific nature of action plans probably should vary from place

to place to reflect differences in local conditions.

However, a number of common questions might be considered by individual administrators who are interested in developing a systematic set of procedures for encouraging talented newcomers to stay in teaching.

Figure 1 includes a number of key issues and questions to prompt thinking about developing action plans. Certainly these questions are not intended to be definitive. They are provided to prompt thinking about the issues. If they do that, and if the thinking leads to development of action plans that smooth newcomers' induction to the profession, then they will have served their intended purpose.

Conclusion

Many talented or potentially talented teachers leave the profession after just a year or two in the classroom. Though there are many reasons for their disaffection, many of these individuals depart because they have found it very difficult to adjust to their individual settings of practice.

Administrators should respond to this situation by developing plans of action designed to respond to areas of concern typifying many new teachers. Properly conceived and implemented, such plans have potential to increase the probability that able new teachers will make long-term commitments to the profession.

Figure 1

Areas of Concern and Questions That Might Precede Development of Action Plans Designed To Retain Services of Quality Beginning Teachers

Area of Concern: "Teachers' Participation in Decision Making"

1. What specific information is provided to new teachers regarding how decisions are made about program, policy, and procedure changes?
2. What specific information is provided to new teachers regarding how teachers can influence the decision-making process?
3. What opportunities are provided for new teachers to become involved quickly in situations where decisions are influenced by input from teachers?
4. Who is charged with providing new teachers information in this category? What kind of accountability system is there to assure that such information in fact is conveyed? (Record keeping and so forth)

Area of Concern: "Dealing with Role Conflict"

1. What specific procedures are in place to provide information and counseling to beginning teachers about dealing with conflicting roles they will play?
2. Who is in charge of providing such information and counseling?
3. What mechanisms are there to assure that such information and counseling are made available to each new teacher? Is there a record-keeping scheme that documents instances when such assistance was provided?

Area of Concern: "Student to Professional Teacher—Bridging the Gap"

1. Does a designated administrator visit each new teacher's classroom three or more times a year? Is the focus of such visits improvement of instruction?
2. Is a "mentor teacher" assigned to each beginning teacher to make numerous classroom observations and to provide non-judgmental feedback about instructional practices? Are such visits made at least once a month?
3. Is a specific teacher charged with familiarizing each new teacher with paper management chores associated with the teaching role? Is there an organized program for doing this, or is an experienced teacher simply told to see to it that "Mr. 'X' and Ms. 'Y' understand how things are done here"?
4. Are regular meetings scheduled at least once a month by building administrators to provide psychological support, listen to concerns, and provide counsel to beginning teachers?
5. Are there inservice programs specifically directed at first and second year teachers?
6. What mechanisms are available to assure that available instructional support materials are shared with new teachers?
7. To what extent are there systematic attempts to familiarize new teachers with the local community, particularly areas from which youngsters in their classes come?
8. What kinds of documents or other accountability procedures are in place to provide evidence that issues raised in items "1" through "7" have been addressed?

Area of Concern: "The School or Program's View of What Constitutes 'Quality' Instruction"

1. Has the school, department, or faculty thought through and committed to paper a description of its general orientation with regard to the "proper" outcomes of instruction?
2. What procedures are in place to apprise new teachers of the nature of this orientation?
3. Is there a system for determining whether there is going to be a "fit" between the orientation of a beginning teacher and the orientation of the school or program in which he or she will be expected to teach?
4. What kinds of accountability procedures are there to assure that responses are being made to issues addressed in items "1" through "3?"

Area of Concern: "Instructional Assignments of Beginning Teachers"

1. Are beginning teachers consistently assigned to teach classes in subjects they are prepared to teach?
2. Are beginning teachers assigned to teach students who, in general, are regarded at least as easy to work with as those typifying the total population of students served by the department?
3. Is every effort made to assure that beginning teachers are assigned to situations where they will have reasonable prospects to succeed?
4. What evidence is available to document kinds of teaching assignments routinely given to beginning teachers?

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Teacher Performance Evaluation—What Are the Key Elements?

A well-planned and carefully implemented system for teacher evaluation can have a far-reaching impact on teacher effectiveness, says this writer, who reviews the elements of such a system.

By Richard Larson

The major responsibility of school administrators is to make judgments regarding the quality of school programs and the effectiveness of staff members. In fact, most administrators agree that evaluating teacher performance is the most important function of principals.

Most administrators would also agree that improvements in performance evaluation are long overdue. A system should be developed that incorporates the knowledge of human motivation and needs and is consistent with the concept of leader effectiveness. More specifically, such a system would:

1. Enhance work and make it a more need-fulfilling experience;
2. Demonstrate to teachers that their ideas and contributions are valued and needed;
3. Provide guidance so that teachers can grow and develop, and become more competent and effective; and
4. Expand teachers' sense of freedom and self-determination through involvement in improving their own performance.[1]

Why Evaluate Teaching Performance?

Teachers' job performance improves when they know they will be observed

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1. Thomas Gordon, *Leader Effectiveness Training* (Dunmore, Pa.: Wyden Books, 1977), p. 240.

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by a competent supervisor who is interested and capable of helping them become more effective and efficient. However, there are other equally important reasons for evaluating teacher performance.

Evaluation has been shown to improve student learning. Iowa State University, working in conjunction with the West Des Moines, Iowa, School District

Most administrators would also agree that improvements in performance evaluation are long overdue.

developed and implemented a teacher performance evaluation system. Twenty-six teachers were involved in an experiment associating teacher performance with student achievement in mathematics. It was found that businesslike, task-oriented teachers who were well-organized and had high expectations achieved the greatest gains. In a community where 9 or 10 months of academic growth in 9 months' time is expected on the *Iowa Test of Basic Skills,* the 26 classes averaged a gain of 22 months overall.[2]

Second, research suggests that the introduction of a formal teacher evaluation system into a school district where none had previously existed has an impact on staff morale.[3] It is assumed that

It was found that businesslike, task-oriented teachers who were well-organized and had high expectations achieved the greatest gains.

this is the case, because most teachers are already doing well but the supervisor or principal is failing to sufficiently compliment them. In addition, teachers who demonstrate questionable performance or consistently fall below minimal standards of performance are being dealt with in an open, fair, consistent manner emphasizing rehabilitation when appropriate. Further, decisions are made to terminate contracts or counsel ineffective teachers into occupations that are more consistent with their interests and capabilities.

Third, managers and administrators who make greater use of procedures to evaluate the performance of their employees are more often rated as the most effective. It is even more important in terms of group productivity and morale to know exactly how well the group or individual is doing, even when the evaluation is not high. Employees seem to prefer to know how a supervisor assesses their performance rather than to be uncertain.[4]

Fourth, district goals are more likely to be achieved when they are related to the performance evaluation system. Teachers and administrators become more committed to accomplishing

2. Richard Manatt, K. L. Palmer, and E. Hidlebaugh, "Evaluating Teacher Performance with Improved Rating Scales," *NASSP Bulletin,* September 1976, p.21.

3. William Carey, *Documenting Teacher Dismissal* (Salem, Oreg.: Options Press, 1981), p.11.

4. George Beal, Joe Bohlen, and Neil Raudabaugh, *Leadership and Dynamics Group Action* (Ames, Iowa: Iowa State University Press, 1962), p. 120.

school goals when they know that a judgment of successful performance will be correlated at least partially with their contribution to improving the school district.

How To Develop a Teacher Evaluation System

The development of a teacher performance evaluation system should be a cooperative effort involving teachers, administrators, and school board members. Cooperation is necessary for the following reasons:

1. So that educational standards and community expectations can be established;
2. When teachers are involved they are more committed to the procedures, know what is expected, and what will be evaluated;
3. The teachers' union, especially the leadership, will be less likely to challenge a termination and will support the concept of helping teachers to improve performance through evaluation;

Employees seem to prefer to know how a supervisor assesses their performance rather than to be uncertain.

4. School board members as well as community members will be more knowledgeable about the purpose and process of evaluation and will provide the necessary support for administrators to effectively implement the evaluation system; and
5. Principals will operate more confidently, understanding that the evaluation system has the support of all parties concerned, especially the teaching staff.

What Should an Evaluation System Include?

Philosophy. A philosophy is simply a statement of beliefs or principles that establishes the foundation of the evaluation system. Philosophy statements may vary depending upon the needs, expectations, and long-range goals of the school district. Generally speaking, it should contain an assertion that the primary purpose of evaluation is to improve teaching performance.

An evaluation strategy should be designed to protect a teacher from unjust criticism as well as to provide specific information to the teacher whose work is unsatisfactory, so that the teacher may have adequate opportunity for improvement.

In addition, evaluation procedures should be conducted in an open, honest manner. The individuality of each staff member should be respected. It is important to recognize that the same teaching methods, procedures, and instructional materials will not be equally effective for all teachers or all students. Finally, it is desirable to indicate that the community has a right to expect teaching performance to be evaluated, monitored, and improved.

Objectives. A statement of objectives includes the aims of the evaluation system and should be directly related to the philosophy. An evaluation strategy should be designed to protect a teacher from unjust criticism as well as to provide specific information to the teacher whose work is unsatisfactory, so that the teacher may have adequate opportunity for improvement. Most importantly, it must provide a fair and systematic method of identifying the teacher who is unable or unwilling to meet minimal district standards and who must be dismissed.

Responsibility for Evaluation. The principal has the primary responsibility for evaluating the teaching staff. Department heads, curriculum specialists, and other supervisors may, however, offer input, especially if another opinion is considered desirable in a possible termination case. Board members should not become involved in the formal evaluation procedure, but rather should rely upon the recommendations of their administrators.

The teacher should have an opportunity for self-evaluation, using the same criteria as the principal. Teachers frequently possess the insight not only to assess themselves realistically but also to take steps toward improvement.

Teachers should be encouraged to have their students evaluate them. In fact, research shows that the most valid and reliable opinions regarding teacher performance are solicited from students. However, the teacher should retain the right to decide whether or not to share results of the student evaluation with the principal.

Procedures of Evaluation. Each member of the teaching staff can be placed in one of three tracks for purposes of evaluation: Track I—probationary, Track II—professional development, and Track III—intensive assistance. Probationary teachers who either have no prior teaching experience or are new to the district, remain in Track I for a period of two years, and are formally evaluated a minimum of three times each year. At the end of the probationary period, Track I teachers are moved to the professional development track if their performance is satisfactory, or their contract is terminated if they fail to meet minimal performance standards.

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Track II teachers are employed by the district more than two years, and their performance is generally considered satisfactory by the principal. Evaluation is directed toward providing suggestions and recommendations as a means of improving performance. Professional development track teachers are evaluated at least once every three years, or more often as deemed necessary by the principal. State law or provisions of the master contract with the teachers' association or union may dictate the procedure to be followed in evaluating teaching performance.

The performance of teachers in the

intensive assistance track does not meet district standards, and needs immediate action to bring about improvement. Track III teachers are formally evaluated at least three times each year during a time specified by the principal—usually from one to two years. If satisfactory improvement is not noted during this period of time, action is initiated to terminate the contract.

Every reasonable effort is made to help such teachers raise their level of performance to conform to district standards. Specific areas of weakness or concern are outlined in writing, and a plan for improvement is developed in cooperation with the teacher. If there is sufficient improvement in performance a Track III teacher is moved to the professional development category.

Evaluation Criteria. Evaluation criteria, or performance standards, are developed by reaching a consensus among teachers, administrators, and board members as to what constitutes a good teacher or effective teaching. The definition of criteria must be specific, understandable, and complete.

The criteria should be developed in a manner that ensures the validity and reliability of the evaluation instrument. Validity refers to the extent to which the evaluation process measures that which it is intended to measure.

Reliability is a measure of the dependability of the evaluation system. There should be a concerted effort to define the performance criteria or standards with as much precision as possible so that not only will the teacher understand what is expected, but the evaluator will have exactly the same expectation.

A recommended format for developing reliable evaluation criteria is to state in written form teaching behavior that is considered satisfactory, that which needs improvement, and that which is unsatisfactory. An example follows:

- *Maintains Class Control and Rapport with Pupils*

Satisfactory-Teacher deals effectively with students in a maner which is honest, friendly, and nonthreatening, while showing a sincere interest in individual student concerns.

Needs Improvement-Teacher usually has effective control of students, but may become defensive or intolerant when students fail to perform as desired.

Unsatisfactory-Teacher has problems maintaining control or achieves it through inappropriate methods, disregarding the feelings, ideas, and concerns of students.

Classroom Observation Procedures. Approaching the observation of classroom activities from a positive and constructive standpoint is sometimes called clinical supervision. It requires a teacher and principal to agree, prior to every classroom observation, as to what is to be accomplished in a lesson and how such accomplishment is to be measured.

The lesson is observed and a follow-up conference is held to determine whether the objectives of the lesson were met. In the pre-conference the teacher communicates to the principal the lesson objectives, teaching and learning activities, and how the teacher will evaluate student achievement. This exercise helps the principal help the teacher clarify objectives and teaching methods.

Frequently, objectives are stated as materials to be covered rather than be-

havior students will display at the conclusion of the lesson. The preconference meeting helps the principal provide more useful service to the teacher by observing and reporting areas of concern, or activities of greatest importance to the teacher.

Following the classroom observation, the principal and teacher are involved in a post-conference. The primary purpose of this meeting is to determine what can be done to improve teaching and learning and what resources are available to the teacher. The principal and teacher cooperatively develop an instructional improvement plan, designating responsibility for what is going to be done, who is going to do it, and when it is to be accomplished.

Job Improvement Targets. The job improvement target is separate and distinct from the classroom observation component, since the job target considers the total performance of the teacher in and out of the classroom during a period of time, and includes multiple classroom observations.

The purposes of the job target include:

- Helping teachers to develop a plan for professional, personal, and/or instructional improvement;
- Assisting teachers in overcoming a weakness and improving performance to meet district standards;
- Demonstrating that the school district has made a reasonable documented effort to assist the teacher in improving performance prior to initiating dismissal proceedings; and
- Providing a means for the school district to achieve organizational goals compatible with individual teacher goals.

A job target worksheet can be used by the teacher to specify a general goal or statement of intention. A job target is simply a statement or objective to help in achieving the goal. The worksheet should provide an outline of how the job target is to be accomplished, including the methods, activities, and materials. It should be noted that while professional development track teachers are evaluated formally only every three years, these teachers are evaluated yearly on their job targets.

Conclusion

Teacher evaluation that is well-planned and clearly understood can be a tremendous asset in upgrading district teaching performance. An evaluation system that is unilaterally determined, poorly planned, inadequately communicated, or not clearly understood can destroy morale and have a negative effect on teaching performance.

The teacher evaluation system should be reviewed annually by teachers and administrators to determine if any changes, additions, or deletions are required for improvement. The plan for evaluating teachers should have continuing support by all parties concerned for maximum effectiveness.

Building an Effective Staff Development Program: A Principal's Checklist

Joseph F. Rogus

This writer provides a workable checklist principals can use to assess building level staff development programing.

In this time of limited teacher turnover and increased pressure for accountability, the need for staff development efforts is greater than ever. Unfortunately, the principal can rarely look to personal history or to district practice for help in carrying out this responsibility.

On the brighter side, research conducted during the last decade has yielded useful data as well as numerous examples of programs that have made positive differences in staff behavior. A solid response can now be given to the question, "What makes for an effective staff development program?"

The checklist presented here was developed in light of that research. Before presenting the checklist, however, a clarification of the concepts "staff development" and "inservice" is necessary.

Staff Development and Inservice Defined

Within the literature, some authors make a clear distinction between the two

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terms; others use them interchangeably. For purposes of this article a distinction is made. Staff development is defined as all activities carried out by the district or school to promote staff growth and renewal. Staff development activities have personal, role, and institutional dimensions (Bishop, 1976).

Development activities can be informal or formal. Informal activities are those day-to-day functions which have developmental effects upon staff. These activities include: implementation of district personnel policies; administration of the personnel evaluation program; involvement of staff in program planning; and day-to-day staff interactions. In one sense, informal activities constitute the most important dimension of staff development programing: They shape the perspective brought by staff members to formal program efforts.

Formal activities are planned program efforts that are personalized to the growth needs of individual staff members. They encompass a broad range of activities including conferences, school observation, curriculum committee involvement, consultation with peers, and inservice participation.

In essence, "staff development" is an umbrella concept with "inservice" a subset. Inservice is defined as one or a series of planned instructional programs made available to a specified group(s) of professional staff members for purposes of promoting participant growth and increased job competence. While inservice is not synonymous with staff development, it is an important sub-dimension of the concept.

The Checklist

The stages of the formal staff development planning process are: commitment, needs assessment, diagnosis, development, implementation, and evaluation.

Checklist items are presented in Figure 1 under each of these categories, as well as under "informal processes." While checklist items are presented in a logical order, we know that the world seldom functions in logically ordered ways. Readers are thus urged to enter the checklist at any point. It would be appropriate to begin, for example, with "Implementation and Evaluation" rather than "Commitment." All items should be reviewed, however, regardless of point of entry.

The checklist is easy to use. Read each item with your present staff development program in mind. Check "yes" or "no" for each item as appropriate.

Review those items which elicit a negative response. Determine what might be done to strengthen behavior on each. Put a plan in writing for yourself. Carry out the plan.

In two months, survey yourself again, and repeat the self-assessment cycle.

Checklist Rationale: Formal Activities

Commitment

The first ingredient of an effective staff development program is commitment. Meaningful commitment takes the form of both a policy statement and resource provision.

Figure 1
Staff Development Programing
Principal's Checklist

In the space provided after each item, check "Yes" or "No" as appropriate.

	Yes	No
I. Formal Processes		
A. Commitment		
1. Is a statement of commitment to the importance of staff development included in the school's policy statements?	____	____
2. Are financial resources committed to staff development programing?	____	____
3. Do I regularly demonstrate commitment to assist staff members in their personal-professional growth?	____	____
4. Do I have a staff development planning committee for the building?	____	____
5. Is the planning committee representative of the faculty members?	____	____
B. Needs Assessment and Diagnosis		
1. Are goals for the staff development program established?	____	____
2. Are program goals disseminated to faculty?	____	____
3. Is provision made for gathering needs assessment data from:		
a. teachers	____	____
b. administrative staff	____	____
c. central office staff	____	____
d. other data sources; e.g., student plan, achievement data, attitude inventories, etc.	____	____
4. Are program objectives determined from the data collected?	____	____
5. Are program objectives achievable given the limited resources available?	____	____
6. Do program objectives reflect the range of difference among departments and individuals?	____	____
C. Development		
1. Are planned learning activities congruent with objectives selected? (See Figure 2.)	____	____
2. Within planned program activities, are the principles of "adult learning" honored?	____	____
3. If consultants are to be involved in program delivery, is the way they are used defensible?	____	____
4. If an inservice program is to be part of the planned activities, are the principles of effective inservice followed?	____	____
D. Implementation and Evaluation		
1. *Can* the plan be carried out as conceived?	____	____
2. *Is* the plan being carried out as conceived?	____	____
3. Where changes in the initial plans are necessary, is the substance of the plan maintained?	____	____
4. Are evaluation mechanisms keyed to the objectives established?	____	____
II. Informal Processes		
A. Day-to-Day Interactions		
1. Do I consciously interact positively each day with as many individual faculty members as I can?	____	____
2. Do I reinforce staff for work effectively done?	____	____
3. Do I go out of my way to assist staff in pursuing their own professional growth?	____	____

B. Administrative Involvements	Yes	No
1. Do I involve staff in program-related decisions?	____	____
2. Do I delegate authority along with responsibility?	____	____
3. Do I carry out the personnel evaluation program from a staff development perspective?	____	____
C. Modeling		
1. Do I read and share my enthusiasm for ideas with staff?	____	____
2. Am I actively pursuing my own professional growth?	____	____

The policy commitment is relatively simple to make; the provision of resources may be impossible. However, we do get what we pay for, and the present negative image of staff development reflects a fair return on past investments. In today's economy dramatic changes in budgeting patterns are obviously impossible, but even small steps can have symbolic power. Simply establishing a separate budget line for staff development and putting just a few hundred dollars in that line would be a useful starter step in many schools.

Commitment to comprehensive planning is another essential. This implies involving a cross-section of faculty, including teacher organization representatives, in the planning process. Unless staff members "own" the staff development commitment, it will go noplace.

Needs Assessment and Diagnosis

A unified plan of action is an essential. Without a unified plan, development activities are disjointed and programs are without power. Developing program goal statements can be an effective starting point toward developing a comprehensive plan.

Goals have the advantage of being "worthy" and focusing energy; and focus is important. The following set of staff development program goals can constitute the basis for dialog in the planning committee:

1. To establish and carry out a plan for strengthening personal-professional performance.
2. To demonstrate increased competence with selected teaching skills.
3. To develop/refine curricular programs to improve student learning.
4. To develop the knowledge and skills essential to implementing newly adopted programs.
5. To develop increased problem solving and communication skills while addressing organizational problems.
6. To carry out action-research on important teaching learning problems.

Agreed-upon goal statements can serve as the source for building the needs assessment that must follow. A needs assessment is simply a process for gathering data from which specific program objectives can be generated.

Data collection procedures can be derived logically from the established goals. If "to demonstrate increased competence with selected teaching skills" is a goal selected for focus, for example, a means for identifying which skills should be focused upon must be developed.

Asking staff what they need through questionnaire or interview is a most common approach to data gathering.

While the procedure is quite defensible, it is also insufficient. Self-perceptual data frequently yield statements of "wants" rather than "needs." It is better to gather data from several sources, including outside observers and administrative staff, and combine that data with self-perceptual data obtained from staff members.

Once needs assessment data are collected and analyzed, program objectives can be set. Program objectives provide direction to the form and content decisions to be made later. The statements of objectives should be made in measurable or assessible form.

It is unlikely in a building of substantial size that one set of objectives can be generated that is appropriate for all staff members. If new materials are being used in social studies, for example, and/or if home economics staff members are experiencing difficulty with classroom management, and/or if industrial arts teachers are having difficulty with incorporating the teaching of reading in their program, staff development objectives would be different for each group. Different goals and objectives for different staff segments is likely to be the rule rather than the exception.

Development

Once objectives are set, specific program activities can be planned. Figure 2 contains development steps appropriate in planning for outcomes under different goal categories. The figure shows an example of a commonly identified building need within the goal category, steps to address that or similar needs, and cautions worthy of note with respect to implementation.

The thread to be honored in planning for any of the different program options identified is that of honoring the needs of the adult learner. Irrespective of program form, it is important to note that "learning by doing" is most effective in working with adults, particularly when provision is made for participants to: select the conditions for learning; address immediate practical problems; develop their own principles; and try out their principles in the work setting.

In addition, adults prefer to learn in situations where social interactions take place. This implies value in planning for inservice programs, where such are appropriate, to take place in the normal work setting.

It is also important in planning to consider if and how outside consultants might be helpful. Outside consultants can be helpful as stimulators, teachers, and linking agents. Each function, however, brings with it certain cautions.

If a consultant is brought in to stimulate staff, participants must understand why the address is being given, how the contents fit into the larger picture, and what kinds of follow-up activities will be carried out. If the consultant's function is to teach toward a clear set of outcomes and assist staff through classroom implementation, participants must be involved in the planning process, at least to the extent of electing to participate. If the consultant is to serve a linking function, it is important to check that the consultant "owns" the organization's outcomes, is respected by staff, and is committed to remain as part of the process until staff no longer sees need for his or her presence.

When inservice is an essential part of the staff development activity, the prin-

Figure 2
Development Steps and Cautions

Needs assessment data indicate the following goal(s) is/are appropriate:	Once the goal(s) is/are translated to the level of objective(s), the following steps should be followed:	In implementing, the following cautions should be heeded:
1. To develop and carry out a plan for strengthening personal-professional performance.	*Example:* Teacher A, a social studies teacher, would like to develop a new course in anthropology; Teacher B, a mathematics teacher, would like to learn and practice teacher effectiveness training skills. *Steps:* a. assist staff in carrying out a personal needs assessment. b. help individual staff in setting personal objectives. c. help staff identify the time, space, resources, and learning vehicle (as appropriate) for achieving the objective. d. identify the type of help needed to achieve the outcome. e. identify assistance that can be provided. f. agree on a means of monitoring progress. g. agree on means for assessing effectiveness.	In implementing the personal-development model, full participation by eligible staff is initially unlikely.
2. To develop increased competence with selected teaching skills.	*Example:* Teachers in the science department need assistance with higher level questioning skills; guidance staff would like assistance in counseling on drug related problems. *Steps:* a. help staff develop specific objectives. b. help staff develop planned learning activities to achieve objectives. c. if objectives are focused on behavior change:	1. Practice sessions require time. An in-service day will be insufficient. A flexible schedule allowing for long and short sessions may be necessary. 2. Identifying training personnel who are credible and who will serve staff for the long term is difficult. 3. Some staff will be

	• check that participants will have opportunity to practice behavior. • check that staff will have "coaching" assistance later during implementation. d. assist as necessary to ensure that all participants are knowledgeable of the plan. e. check that evaluation plans are keyed to program objectives.	threatened by in-service and may want to drop out.
3. To develop programs to improve student learning.	*Example:* A committee has been established to evaluate the mathematics curriculum and make recommendations for new adoptions; home economics teachers plan to develop a new "child care" curriculum. *Steps:* a. provide staff an opportunity to refine their curriculum development skills. b. assuming staff have a solid knowlege base, provide time for them to work. c. monitor progress. d. encourage trial use of materials while they're being developed or reviewed.	1. Involve all staff who will participate in implementation. 2. Take steps to ensure staff members have a strong knowledge base before they get involved in program development or review.
4. To develop the knowledge and skills essential to implementing new adoptions.	*Example:* A new science series has been adopted; a new text has been adopted for first-year English. *Steps:* See steps followed for "selected teaching skills" (goal 2).	1. Implementation requires the same careful planning as development. Don't leave effective implementation to chance. 2. While adjustment to a new adoption is taking place, minimize additional teacher tasks so they might focus on effective implementation.
5. To develop increased problem solving and communica-	*Example:* Lack of parent involvement is of concern to all staff.	1. The organizational development approach is most com-

tions skills while addressing an organizational problem(s).	*Steps:* a. clarify problem and set goals. b. analyze forces that prevent problem resolution. c. set priorities on constraining forces to be addressed. d. make plans for action. e. carry out plans. f. evaluate effects of action taken.	plex. Be sure staff members understand the process and want to participate before getting underway. 2. Organizational improvement programing is very time consuming. All must be committed to giving time willingly. 3. For the approach to be effective, staff must not "see" the problems; they must value working together, recognize interdependence, and support the expression of difference in opinions, values, and feelings. 4. Staff must "own" the problem if resolution efforts are to be effective.
6. To carry out action research on important teaching-learning problems.	*Example:* Several teachers are concerned that the demanding subjects such as physics and chemistry are being avoided in droves. They want to find out why. *Steps:* a. help staff clearly state problems. b. ask university or system research staff to assist in refining the problem statement, the research design, and plans for data analysis and reporting. c. put together a plan. d. carry out the plan.	1. Our history of inquiring on complex questions is weak. University relationships are similarly weak. Both have to be addressed. Neither is an easy task but both are addressable. 2. It is important to reinforce inquiry activity of any sort. The lack of reinforcement may be one reason it is so sparse.

ciples of effective instruction must be honored. One point with respect to program planning is particularly worthy of emphasis: Where the purpose of the in-service program is to affect change in staff behavior, participants must have the opportunity to practice the desired behaviors in a protective, caring setting; furthermore they must receive "coaching" assistance at the point of imple-

mentation if the changes are to be more than superficial and passing (Joyce and Showers, 1980).

Implementation and Evaluation

The key steps to effective program implementation and evaluation are stated in the checklist. Carrying them out is the problem. Implementation calls for taking steps to ensure that planned program steps can and are being carried out.

Effective evaluation implies continuous examination of whether the resources for the program are sufficient, if plans are being carried out, and whether the desired outcomes are achieved. Fixing responsibility for evaluation and providing helping assistance as necessary are the principal's primary responsibilities during these stages.

The Staff Development Checklist: Informal Activities

As noted earlier, informal activities are of paramount importance to staff development program effectiveness, as they shape the predispositions of staff toward formal program efforts. There are three basic components of the principal's informal operation that have powerful staff development implications: day-to-day staff interactions; involvement of staff in program decision making; and personal modeling.

Daily interactions with staff members that say "You are an important and a valued professional," can do much to create a positive staff predisposition toward formal programing. The power of modeling also cannot be underestimated. If professional development is to be viewed as important to staff, they must observe the principal as "staff development personified," one who is committed to and involved in personal-professional development activity.

Finally, the principal's commitment to help others grow takes form each day through the manner in which such administrative matters as program-related decision making, delegation of authority, classroom observation, and evaluation conferences are carried out. If, through these activities, staff members perceive themselves as valued, growing professionals, the formal program has a good chance of making positive impact.

Conclusion

Staff development is first and foremost a state of mind, a commitment to the growth of others. It takes many forms, and effective programing requires careful vigilance. Just as personalized programing is appropriate for students, it is essential for staff. The modeling effects of differentiated efforts can by themselves be enormous.

Staff development programing is a complex and demanding venture, and will be effective only if it holds top priority with the principal.

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4. The Principal as the Instructional Leader

Until the latter part of the eighteenth century the one-room schoolhouse was the predominant model for schooling in this country. However, as schools became larger the need for someone to organize and coordinate the instructional program grew accordingly. In instances where there was a need for more than one teacher, a common practice was to designate a "head teacher" or "principal teacher." This head teacher assumed responsibility for "determining the time of opening and closing the school, scheduling classes, securing supplies and equipment, taking care of and managing the building and communicating with parents and patrons" (Anderson and Van Dyke, 1963). All these duties were performed in addition to teaching a full or nearly full class schedule.

Today's principal is a direct descendant of the old head teacher concept. As such, the principal has continued to enjoy a birthright as titular head of the instructional program. However, the modern principal has not maintained the same intimate relationship with the instructional program.

With so many demands on their time and talents, a special effort will be required of principals who wish to earn the status of "instructional leader." The rewards will be well worth the efforts, however, if we can believe one of the single most consistent and striking results of effective schools research: Effective schools have principals who are instructional leaders.

What will the curriculum look like in the year 2000? If our society is to survive and prosper, Larson suggests we must be futuristic in our thinking and plan a curriculum that will anticipate world crises and prepare students to meet the challenges of the next century. Against a backdrop of some of the more striking predictions made by futurists, Larson describes some of the major concepts and trends likely to affect the secondary school curriculum of the future.

In his article, Cawelti expresses grave concern about fragmentation of the secondary school curriculum in America. Too many electives, coupled with a blurred perception of what should comprise a basic curriculum for all students, have led to an ineffective "patchwork" curriculum in most schools. Cawelti defines general education as "those common learnings deemed essential for all students to

function well in a free society." He urges principals to take a leadership role in designing and implementing a cohesive and integrated general education program for students, and suggests how this might be accomplished.

Most principals were not selected for the principalship because of instructional expertise; they were selected in spite of it. For this reason, many principals have been reluctant and unprepared to exercise leadership in the critical processes of curriculum development and instructional improvement. Littrell and Bailey offer a "practical" eight-step approach to bring about curriculum change.

Duke uses a summary of the effective schools/effective instruction research as a backdrop to describe how the role of the principal as an instructional leader can be enhanced. He describes six leadership functions including: staff development, instructional support, resource acquisition and allocation, quality control, coordination, and troubleshooting as the essence of the effective principal. The article concludes with key questions designed to identify the effective principal.

Time is required to teach the curriculum and time, or the lack thereof, is the subject addressed by Rossmiller. He graphically describes how the 1,080 hours presumably available for instruction during a typical school year are whittled down to a mere 364 hours, due to a number of intervening variables. Rossmiller concludes by encouraging school leaders to strive for more effective use of the school day by reducing the amount of time lost or diverted to noninstructional activities and by sensitizing teachers to the effective use of time.

In the final article of this section, Weller and Wolfe provide a model to enable principals to help teachers develop computer skills. "As the instructional leader of the school," they say, "the principal has the unique opportunity to initiate curricular changes that reflect the needs of the social order."

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Designing School Curriculum for The Twenty-First Century

The organization that lacks vision will collapse. History has made that lesson clear again and again.

By David H. Larson

What will our secondary school curriculum look like in the year 2000? Why is it even important to ask this question?

History has shown time and again that lack of foresight and planning has contributed to a failure of organizations to provide clients with necessary goods and services. The organization that lacks vision will collapse.

The mission for educational leaders is to examine the school curriculum that is, and plan for the curriculum that will be. One word of caution, however: No matter how future-oriented, curriculum can never completely anticipate all student needs. As one thinks about and plans for the future one must remain flexible enough to accommodate the unexpected. Rather than a singular approach to planning, one must consider a variety of alternatives.

During the Carter administration, the Council on Environmental Quality and 13 other federal agencies submitted a report to the President entitled, "Global 2000 Report." In this report, the federal agencies studied population, resources, and the environment from a long-range, global perspective and identified seven crises that may create or increase international tensions and endanger world peace by 2000. The crises cited are:

1. Ecological collapse
2. Rising population
3. A continued reduction of fertile farm land
4. A scarcity of fuel
5. Shortages of free water
6. A decline in the world fish catch
7. Increased oil prices because of decreased oil supply.

The following predictions made by the futurists, represent current thinking:

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- Computers, television, and satellites will reduce the need for travel, allowing people to work and shop at home by 1990.
- Home computers will be in 80 percent of American homes, assisting with everything from office and schoolwork to the family budget.
- Electronic banking, educational coursework by television, and a long list of games and entertainment options will be available at the flip of a switch.
- Already on the drawing boards or in the testing stage are a diet supplement that can improve memory, a totally safe and nonfattening artificial sweetner, and a drug that retards the aging process.
- Artificial implants are being designed to replace more and more organs.
- The world population will soar from its current four billion to nearly seven billion by 2000.
- By 2000 almost 75 percent of married couples will both be working.
- 75 percent of the American nonfarm work force will be engaged in service-producing jobs by 1990.

Students will face such a world in the year 2000. How will schools prepare them to meet the challenges, crises, and opportunities of this world?

The Secondary School Curriculum

It is important to note that tomorrow's problems cannot be solved with today's skills. Rather, the new skills must include a high tolerance for ambiguity and the ability to examine and create alternatives. Therefore, curriculum designers must structure future learning models that teach these concepts.

Shane and Talber (1981) present six approaches to curriculum planning that should be considered:

- The regressive option: a return to some of the values and practices that have been discarded.
- The conservative option: leave things as they are.
- The liberal option: adopt changes that are mandated by a changing society.
- The experimental option: create new education designs.
- The regenerative option: adopt new approaches to learning experiences.
- The eclectic option: any one or any combination of the above might be the best option.

Curriculum as presently perceived is compartmentalized. The compartmental design is outmoded; knowledge is not segmented, it is interrelated. Hence, the secondary curriculum must become more interdisciplinary, integrated, and holistic in its design.

Traditional elements—e.g., art, history, mathematics—will still be included to some degree in the curriculum. But how will the curriculum change? The following will provide information for curriculum planners to address students' needs in the year 2000 and beyond. Rather than being a model, this list should provoke thoughtful ideas and new concepts.

Language Arts

A redefinition of literacy: in light of new technology, a need will exist to redefine the meaning of literacy. Marshall McLuhan has spoken of a return to an oral culture.

- Communications: the integration of

computer capabilities with information handling technologies such as TV, radio, video discs, teleconferencing, etc., will permit students to actively engage in learning anywhere, anytime, drawing upon incredible resources.

- A new calligraphy: typing skills may replace the need for handwriting skills, which in turn may be replaced by machines that have the ability to translate the spoken word into both hard and soft copy. Handwriting, beyond basic printing, will become the province of the art teacher.
- Research and information accessing: students will be required to develop research skills and the ability to obtain access to information.

MATHEMATICS

- Computer literacy: all students should develop a high degree of computer literacy, and become aware of both the limitations and potential of computers.
- Problem solving: divergent thinking and problem solving should be emphasized in mathematics.
- Heuristics of problem solving: the study of discovery in the problem-solving approach should also be emphasized in mathematics.

SOCIAL SCIENCES

- The human condition: life in the "global village" will stress the interdependence of all persons on our planet, and the rights and responsibilities of world citizenship. Students will need to study psychology, sociology, anthropology, and political science
- Human dignity: student must understand that human dignity and equality of opportunity are paramount for all the people of the world.
- Voluntary simplicity: voluntary simplicity as an alternative way of life should be discussed.
- The haves and the have nots: students should be able to comprehend the inequalities that exist between industrial nations and the underdeveloped countries.
- Social justice: students must come to realize that social justice is the cornerstone of any viable society.

SCIENCE

- Conservation of resources: it is important for everyone to learn as soon as possible that the earth places limitations on us; to recognize the importance of conserving resources; and to appreciate the concept of ecological holism.
- Natural laws: students must come to appreciate the holistic quality of nature's laws. The holistic approach in turn will integrate science courses and the allied body of knowledge.
- Rational choices and decisions: students must learn to make rational scientific choices and decisions.
- Role of science and technology: students must understand the omnipresent role of science and technology.
- Scientific method: students must experience the scientific method.
- Application of the scientific method: students must be able to apply the scientific method of rational thinking to practical, everyday problems.

PROBLEM SOLVING

- New skills: an integral part of the

curriculum will be the mastery of new problem-solving skills. Since the beginning of time, man has focused on solving the problems of the world as it has existed. Students of the future must begin to focus on problems in a world that has been reshaped by man.

- Linear solutions: the curriculum will have to focus on diverse methods of solving problems. Thinking in a linear mode will no longer apply.
- Sense of community: students must become far more concerned with the problems of their own communities. The curriculum must move outside the walls of the school and into the community.
- Future skills: creative thinking, problem solving skills, and decision-making skills will be of paramount importance to the students of the future.

Futures Education

Included in the curriculum of 2000 should be a futures education course of study. It is interesting to note that more than 700 public and private schools in the United States presently offer a futures course. The components of this course of study might include:

- The study of alternative futures.
- Ecology and its long-term biological consequences.
- The development of a global perspective.
- The development of a student's creative and critical thinking skills for the exploration of the possible.
- An emphasis on divergent thinking so that students come to see that there are many possible solutions to problems and a wide range of acceptable answers.
- An understanding of the long-term effects present actions and decisions may have.
- An understanding of the concept of interdependence of relationships.
- A realization that people can and should influence and direct their own future.
- An opportunity for students to examine the possible futures open to them so that they will become more involved with their own educational program and at the same time develop basic forecasting skills.

Some General Observations

The following are some general observations that will affect future curriculum development.

- Learning "how" will take precedence over learning "what."
- Learning will emphasize searching and creating rather than knowing.
- Learning will become a lifetime activity; more learning will take place outside the classroom; learning will become more closely allied with a person's occupation, and will be spread out over an entire lifetime.
- Learning will cease to be compulsory.
- The latest research findings on learning—e.g., brain research, learning styles etc.—will force unanticipated changes upon curriculum planners.
- Teachers will no longer be "transmitters of knowledge and hearers of recitations" but, instead, learning will become the responsibility of "managers of learning" who will diagnose students' instructional needs and prescribe educational experiences.

Dade and Allen (1981) have suggested that the following skills will be considered vital in the next 30 years:

— reading/writing/editing
— listening/seeing/computer usage
— speaking/logic
— mathematics/analytical problem solving
— the scientific method/general systematic approach
— graphics/media usage/forecasting and predicting
— pattern recognition/managing information overload
— generalizing/deciding.

As the educational leader approaches the new millennium, he or she must focus upon the future of our schools and upon the curriculum the schools will offer. Your young learners will not be made wise by the recollections of our past, but by the responsibilities they learn to accept for their own futures.

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Needed: A Process for Redefinition

Redesigning General Education in American High Schools

Gordon Cawelti

Educators have a responsibility to not let tradition, departmental structures, and other restraints dictate the program students will receive. Principals who will take this responsibility seriously can provide strong instructional leadership in designing a cohesive program for tomorrow's citizens.

During the past two decades, the curriculum in America's high schools has been subjected to an enormous proliferation of elective course offerings, intensive encouragement to innovate in such areas as technology and organization, and to a multimillion dollar attempt by the federal government to improve science and mathematics teaching. Although these efforts have no doubt had differential impacts on the schools, I have deliberately chosen not to attempt an extensive analysis of this impact since this has been done elsewhere.

In addition to these phenomena the early '70s produced no less than a half dozen major reports by prestigious commissions and groups who were concerned with high schools. They tended to stress alternative routes to graduation, the transition from schooling to work, and a host of other somewhat isolated problems. In an earlier analysis,[1] I concluded

1. Gordon Cawelti, *Vitalizing High Schools* (Washington, D.C.: Association for Supervision and Curriculum Development, 1974), pp. 1-52.

This article is based on a presentation made at NASSP's 1980 Convention in Miami, Fla.

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that only peripheral attention had been given to the basic curriculum, and that the reports' impact had been limited perhaps partially because almost no practicing high school principals had been invited to participate in formulating the recommendations that were made.

We now find ourselves heading into the '80s preoccupied with the competency-based education movement and with some vestiges of the accountability era remaining. While the focus on so-called life skills has afforded the opportunity for a serious reconsideration of the general education issue, for the most part attention has been on basic skill attainment and seems to have trivialized secondary education in some instances. At least this is the case in Oregon, which now has some half dozen years of experience, having been the first to seriously undertake competency-based education.

General Education Today

It is my contention that we have "optionalized" the secondary curriculum too much and that there seems to have been almost a deliberate avoidance of any substantive reconsideration of what common learnings should be provided to prepare all students for life in a democratic society in the twenty-first century. It is imperative that the high school curriculum retain an extensive offering of elective courses to capitalize on student interests, but these must be extensions of a baseline or general education curriculum. Our schools have had and do have a primary responsibility to transmit our political and cultural heritage, but in our efforts to meet individual student needs, to innovate, and to be accountable, we have seriously neglected the issues involved in designing a curriculum that meets the needs of all youth *and* of our society.

Make no mistake about it—Russia transmits its culture, as do Cuba, China, and free nations such as England, Japan, and Canada. In Canada, the press toward pluralism finds one province seemingly quite intent in its separation movement. Although economic, political, and cultural in its origins, the Quebec separationists demonstrate the dangers in failing to pursue a nation's common interests as well as cultural differences.

The "Patchwork" Curriculum

It must be apparent by now that a host of deficiencies in the high school curriculum are being felt. In response to perceived needs of individual students, high schools in recent years have been urged to develop instructional programs dealing with drug abuse, sex education, moral education, values, use of leisure time, parenting skills, nutrition, death, and others. In response to the pressing problems of society, high schools have been asked to implement programs dealing with energy, population, global affairs, the environment, law related courses, career education, and ethnic studies.

Seldom does anyone ask what is to

be excluded if one of these new curricular programs is introduced, or where it should be placed in the total pattern of instruction. Nor do many people seem to have raised the question as to whether or not this is a legitimate role for the school to play, or whether we really believe we can accomplish any enduring effects on students in either knowledge or attitudinal aspects. As a result we have a badly overloaded or "patchwork" curriculum which lacks coherence and serves poorly its purpose of providing a general education for American youth.

What Is General Education?

Through our negligence of the issue, the term "general education" has fallen into some disuse; more so at the pre-collegiate level than in colleges and universities where there is some revival of attention to a redefinition. Insofar as high schools are concerned, general education, as distinguished from specialized education, refers to those common learnings deemed essential for *all* students to function well in a free society. The base line, core, or required curriculum are terms also used; but it can be likened to the liberal education once followed by the elite in universities. General education in this sense is roughly fashioned by state department of education, accrediting agency, or local board of education requirements which specify the number of credits to be earned in certain subjects before the diploma is to be granted.

In recent years some school districts have revised the number of course requirements and no doubt paid some attention to the question of what knowledge is of most worth. Despite this, I have seen very little change and have observed that many seniors need only one or two courses for graduation and could easily have eliminated these through summer school had they not cherished their social life in school. One sees very little response to the rapidly accelerating accumulation of knowledge at our disposal insofar as graduation requirements are concerned. We are therefore sampling smaller and smaller amounts of knowledge each year.

General education, then, refers to that segment of the high school curriculum required of all students which serves to provide an examination of our cultural and political system. It seems increasingly clear that there needs to be some synthesizing of the patchwork curriculum into a more coherent pattern of learning experiences which focus on both individual needs and those of society. This suggests more interdisciplinary courses out of which advanced elective courses must continue.

Since schools clearly do not have time for all students to have individual courses in art, music, theater, literature, and the like, a unified humanities course showing the interrelationship of all of these subjects is much more feasible. Schools don't have time for all to have separate courses in nutrition, physical fitness, use of leisure time, sex and drug education, so a unified course in health is needed.

Review of Previous Conceptions

While space does not permit an extensive review of previous proposals and developments in general education during the last 50 years, a few are worth brief mention to place our discussion in some perspective:

- In the '30s, the Eight-Year Study resulted in several high schools developing core programs when freed of higher education restraints. These focused on problems faced by young people through an integrated curriculum.
- The Educational Policies Commission report in 1952 stressed common learnings and essentially served to extend what had been much more narrowly defined purposes of the high school up to that time.
- During the years I was in high school, the Harvard Committee issued *General Education in a Free Society* (1945) which is still the most comprehensive consideration of the general education issue. In it they urged that the common learnings curriculum serve to build unity from the diversity of our society.
- In the early '60s, Brody, Smith, and Burnett advocated in *Democracy and Excellence in American Secondary Education* that the general education curriculum consist of five main areas including sciences, study of social problems, developmental studies in culture, exemplars in the arts, and the "symbolics" of information (mathematics, foreign languages, English). Here was a substantial attempt to define those common learnings for all that are central and widely needed to deal with "life in our times" as opposed to trying to teach everything. It was their attempt to deal with the curriculum fragmentation problem which already existed then.
- More recently, the faculty at Harvard struggled in coming up with their conceptualization of general education at the university level.[2] Their core curriculum henceforth will be built around courses in six areas —literature, fine arts, social and philsophical analysis, science and mathematics, history, and "foreign language and culture."

Here again one sees recognition of the need to synthesize several isolated courses into an instructional program designed to show the interrelationships between separate subjects.

Toward a Redefinition

I think that not one more behavioral objective or mini-course or "integrated resource unit" should be established until a school has developed an overall curriculum plan for general education. I do not wish to suggest this is the only effort needed for improving secondary schools—indeed, those efforts to design alternative schools and alternative routes to graduation are important as are those which seek to draw the total community back into the education of its youth. But we

2. Susan Schiefelbein, "Confusion at Harvard —What Makes An 'Educated Man'?" *Saturday Review*, April 1, 1978, pp. 12-20.

must not permit these concerns to have us continue to beg the question of what the high school should teach to all of its students.

We can start the redefinition process by recognizing that the instructional leader must contend with three major considerations in redesigning a contemporary program of general education. These are the realization that the ultimate program must draw on the *needs of society*, the *needs of individuals*, and the *structure of the disciplines*. Abortive attempts in the past have failed to recognize the centrality of one or more of these factors, and the same mistakes must not be made again.

The actual determination of a well-conceived program of general education will be most successful if undertaken at the local school district level. We should have learned by now the difficulty of exporting curriculum change and that the impact of recommendations by prestigious commissions and individuals has been minimal for some time now. Although Conant's report did have considerable influence in the late '50s, it may have been the last that did. The enormous differences in the student bodies of high schools across the land compel that the general education program be locally determined.

I would like to propose that the following curriculum clusters or areas retain sufficient identity with traditional disciplines to make them feasible and yet they afford a more coherent way of viewing a balanced program of general education to prepare future citizens. I have deliberately avoided any new language or clever acronyms, believing that with many changes such designations are not useful except to confuse lay people. Whatever designations are used for these curriculum areas should be clearly understandable by both professional and lay people and should only be derived through extensive participation.

How To Get Started

It should be expected that locally determined redefinitions of general educators will vary widely. A thorough review and development process could easily consume from three to five years. Some faculty members will tend to resent any intrusion on the "purity" of their discipline. While any number of restraints can be anticipated, most can be overcome through good planning skills, effective participation technqiues, and strong instructional leadership.

Here are some suggestions for utilizing the curriculum model I have suggested:

- Analyze a *sampling of last year's graduates'* transcripts to ascertain the extent to which the courses they took in three to four years reflect the balance among the six curriculum clusters I've suggested.
- Conduct what I refer to as a *stratified needs assessment* of parents and students. This compels development of a needs assessment instrument which would rank preference or priority for suggested

Curriculum Area	Subjects or Topics
1. *Learning Skills*	Mathematics, remedial and speed reading, composition, speaking and listening, problem solving, critical thinking, locational skills, computer literacy, intellectual curiosity.

The high school must continue to teach these skills until minimal levels of competency are achieved; some students will require considerably more time for mastery than others; others will require basic English instruction before moving on to higher order learning skills.

2. *Emotional-Physical Health*	Physical education, nutrition, lifetime sports, drug abuse, use of leisure time, coping, stress management, parenting, health, human growth and development.

An integrated program in this area can be developed by teachers of science, physical education, home economics; counselors; etc. The courses should be taught in an interdisciplinary way using community professionals who can contribute.

3. *Career-Vocational*	Industrial arts, career education, vocational courses, distributive education, apprentice training, salable skills, work ethic.

This area affords substantial opportunity for experiential learning, and must actively involve the business and professional community.

4. *Cultural Studies*	Art, music, drama, aesthetic education, literature, history, multicultural education, ethnic studies, foreign language.

The unified humanities course is the closest existing kind of course envisioned here. Emphasis should be on the *consumption* of culture in addition to *performance* courses like painting or band.

5. *Science-Technology*	Biology, physics, chemistry, earth science, physiology, environmental education.

This area would focus on acquiring knowledge in the natural sciences for the purpose of applying this knowledge to daily living and technological problems such as pollution and energy.

6. *Citizenship-Societal Studies*	History, economics, social sciences, citizenship, and other appropriate subjects. Topics of concern include poverty, urban life, the economy, global studies, war, population control, energy sources, etc.

The closest existing course would be a Problems of Democracy course similar to that recommended by Conant in 1959, except that it would be team taught again utilizing community resources and compelling student participation in data collection and analysis.

topics under each of the six areas. Most such forms currently used provide equal treatment for a whole range of subjects which inevitably rates basic skills at the top. A stratified needs assessment instrument starts with the assumption that all students will receive instruction in each of the six clusters. This approach compels participants to help select the most important topics to be studied within each cluster.

- Designate a *task force* to review data from the previous suggestions and then make recommendations for a three to five-year plan for redesigning the general education program.
- *Organize the faculty* along such curriculum cluster areas. This could save some costs of the conventional department heads and compel closer interaction among disciplines.
- Seek *outside resources* from the community to help fund such change and assure the needed expertise is available for a thorough job.
- *Get some interdisciplinary courses started* which provide powerful learning experiences—evaluate student attitudes toward such courses compared with conventional subject courses.

Conclusion

Do you believe that graduates of your high school should:

- Know how to become and remain fit?
- Know how to look at a building?
- Understand the significance of cultural pluralism in this democratic society?
- Be concerned about the city's water supply and know how to go about deciding what to do about an inadequate supply?
- Know how to locate the kinds of information they will need as a participating citizen?

We have a responsibility to provide the most useful and significant instructional program it is possible to design and not let tradition, departmental structures, and other restraints dictate the program high school students will receive. Principals who will take this responsibility seriously can provide strong instructional leadership in designing a cohesive program for tomorrow's citizens.

A growing body of research reveals what our experience and intuition tells us—if the principal doesn't lead, improvements don't come and the program stagnates.

Eight-Step Model Helps Systematic Curriculum Development

Are curriculum development materials too complex? School administrators will find that this model provides a practical strategy for improving curriculum.

By J. Harvey Littrell and Gerald D. Bailey

A working knowledge of curriculum development is an essential for today's school administrator.

Believing that many of the existing curriculum development materials and models are too theoretical or impractical, several midwestern school districts have engaged in a practical, systematic form of curriculum development known as the Eight Steps of Curriculum Development. That model is described below.

Step One: Identification of School Goals

School goals are the foundation of all other curriculum steps. Too often, however, such goals are nonexistent, or are not meaningful. All too many schools do not have meaningful school goals.

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School goals can be defined as student outcome statements with broad direction or intent. They are all-encompassing statements of the content and experiences encountered by students as they move from one grade level to the next. School goals should be written in terms of student outcomes, and

The Eight Steps of Curriculum Development

Step One: Identification of School Goals
Step Two: Creation of Subject Goals
Step Three: Creation of Scope and Sequence Charts
Step Four: Identification of Competencies
Step Five: Creation and Compilation of Curriculum Guides
Step Six: Identification of Instructional Objectives
Step Seven: Curriculum Evaluation
Step Eight: Curriculum Revision

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not what the school will be doing for the students. For example:

1. The student will develop good character.
2. The student will develop a desire for learning now and in the future.
3. The student will develop a feeling of self-worth and dignity.
4. The student will develop the ability to use leisure time effectively.

Goals can be developed in several different ways. If established guidelines prove to be unacceptable or unusable, the technique of organized brainstorming is a viable approach to goal identification. Through directed exercises by the curriculum director or steering committee, essential goals can be identified.

The case study method is another technique that could be employed to establish goals. In this strategy, district personnel collectively identify existing problems or situations. Those in need of an immediate solution are studied and data are collected; a school goal is then generated which attempts to solve each problem.

One of the most common methods used in establishing school goals is the borrowing and/or modification of established goal statements from other school districts. This practice is highly acceptable, provided the schools have similar social and economic characteristics and the goal-setting group decides the goals are applicable to their district.

Step Two: Creation of Subject Goals

The second step in systematic curriculum development is the creation of subject goals. It is important to point out that the total school district should not be responsible or involved in the establishment of subject goals. Only those teachers responsible for teaching the various disciplines should be involved in writing subject goals.

Subject goals can be defined as broad statements of student outcome related to specific subject matter. Such goals allow teachers to specify how they are going to fulfill the school goals.

Subject goals are broad in nature and are timeless. The term "timeless" means that the subject goals can be accomplished at one or more grade levels in the K-12 curriculum. Subject goals are more specific than school goals, but are less specific than competencies and instructional objectives.

Teachers must remember that subject goals are related to a specific subject. Examples of such goals include:

- *Science:* The student will practice safety measures designed for science areas in the school.
- *Social Studies:* The student will understand and appreciate the basic freedom of democracy.
- *Mathematics:* The student will develop skills in thinking, reasoning, and proceeding logically with mathematical concepts.

Step Three: Creation of Scope and Sequence Charts

A scope and sequence chart is a written plan for specifying what is to be taught (scope) and when it is to be taught (sequence). The district curriculum director is usually in charge of these activities, and the written plans may or may not be included in the district curriculum guide.

One of the major arguments used by

districts that do not use scope and sequence charts is that they make for a rigid curriculum. In other words, once subject matter concepts and sequence of those concepts are spelled out, the curriculum becomes inflexible or permits little creativity. Districts which advocate the use of scope and sequence charts argue that it is imperative to be able to identify what is being taught and when it is offered in the K-12 continuum; that it is only when the scope and sequence document is identified and used that *planned learning* can occur.

While it may be impossible to lay the first argument to rest, scope and sequence charts do offer some substantial advantages to curriculum developers. These include:

1. Unplanned duplication of concepts can be eliminated by systematically developing and using scope and sequence charts. Planned concept overlap becomes a positive outcome of scope and sequence. Determination of those concepts that need to be repeated or reemphasized can lead to greater student learning and satisfaction.
2. The identification of what concepts are taught and when they are taught can provide a wealth of information to teachers, and allows for coordinated use of teaching materials.

While specific formats of scope and sequence charts vary a great deal, they usually depict the specific concepts taught within a given subject matter area.

The Four Tests for Determining Scope

Four different tests must be applied to determine how useful scope concepts are in the curriculum:

1. *Does scope meet the test of time?* Scope is only valuable when the concepts being taught are deemed necessary or critical to student competency. In short, they are time proven. Thus, the question must be posed: Has the concept been documented as essential to student success?
2. *Will the content or concept be useful in a vocation?* If certain learning experiences will assist the students in the future as they relate to a chosen field of work, then the content can be considered to be worthwhile in the curriculum.
3. *Is the concept useful culturally?* Scope meets the third test if the learning experience provided in the curriculum helps the student in understanding or contributing to society. While some concepts may be more abstract than others, their inclusion in the scope is equally important.
4. *Does it fulfill an immediate or future student need?* This is a critical dimension of scope. If teachers cannot determine the current value or future relevance of the concept, then the value of the concept will not be apparent to the student. Students should be able to value what they are learning at the present time as well as 10 or 20 years from today. Relevance must be determined for each concept found in the scope.

The Four Tests for Determining Sequence

In developing the sequence in the cur-

riculum, four different tests also should be applied:

1. *At what grade level is the concept best taught?* If certain student skills or knowledge are needed at a given point in the curriculum to fulfill a goal, then the concept can be offered at the grade level where the skills are needed. For example, if a goal of a subject is that seventh grade students should type their papers, then to fulfill the goal, typing must be taught by seventh grade.
2. *What needs exist for the student in the curriculum?* Student strengths and weaknesses can be identified and used in determining when certain concepts should be introduced or ordered in the curriculum. One of the most reliable measures for determining curriculum needs is student testing. Standardized tests provide an excellent method for determination of sequence.
3. *When is the concept most logically taught?* Within the discipline itself is the best place to determine when concepts should best be taught. Basic concepts can become the foundation upon which other, more complex, concepts are taught.
4. *What does research say about the sequencing of content?* The work of Piaget, Bloom, and Bruner as well as other researchers can be invaluable in determining the sequence of concepts in the curriculum.

Step Four: Identification of Competencies

The inclusion of competencies in the curriculum development process is a relatively new development. While universal agreement has not been reached by curriculum experts on the definition of a competency, the need for identifying them appears to be certain.

Competencies are generally defined as specific student behavioral outcomes. Competencies identify a specific skill that the student will demonstrate within a given subject matter. Competencies fall between subject goals and instructional objectives: They are more specific than a subject goal and less specific than an instructional objective. Examples of competencies include:

- *Mathematics:* The student will be able to perform the four fundamental operations with whole numbers, common fractions, and decimal fractions.
- *Social Studies:* The student will trace his or her maternal and paternal ancestry.
- *Shop:* The student will operate power tools in a safe manner.

Step Five: Creation and Compilation of Curriculum Guides

The first four steps of curriculum development are critically important; the creation of curriculum guides is essentially the embodiment of the work done in these steps.

Not all schools will see the potential value of curriculum guides. For some schools the development process is too costly and time consuming. However, curriculum guides can be the most important feature of the total curriculum. For this reason, it is important that administrators consider three basic questions about such guides.

1. *What is the purpose of the cur-*

riculum guide? Curriculum guides can be developed so that the entire curriculum is displayed in one written document used principally by teachers. A second type of guide can be used as a clarifying document. This type of guide is used by administrators and teachers, and is shared with parents, students, school board members, and lay people. Some guides serve both purposes.

Unless teachers value the purpose of the guide and value the importance of participating in planning and developing a curriculum guide, the document will never be used as it was intended. Additional specific purposes may need to be considered by curriculum developers before engaging in curriculum guide activities. Some of these purposes include:

- To remove haze or uncertainty found in the curriculum.
- To use for planning and implementing scope and sequence.
- To use for coordinating efforts within or among departments or attendance centers.
- To use as a basis of selecting, planning, and evaluating curriculum texts and materials.
- To use as a technique for selecting, improving, and evaluating instructional strategies.

2. *What type of curriculum guide is needed?* It is difficult to prescribe one format that will meet all needs for the school. The type of curriculum guide is dependent on the purpose of the guide. With this in mind, the following elements should be considered:

- Foreword: This section is a narrative which indicates the purpose of the curriculum guide and how it should be used by teachers and administrators.
- School Philosophy or Goals: This section identifies the school district's purpose, the ultimate design and direction of the school.
- Teaching Methodologies: A description of teaching methodologies used by the teachers in all grade levels may be included. This section provides descriptions of various methodologies such as inquiry, small-group, lecture, instructional modules, and contracting. The narrative would enable the user to determine what means were being employed to reach the previously identified student outcomes.
- Learning Styles: A number of curriculum guides provide an overview of those learning styles commonly observed in students. An explanation of how the staff is trying to meet different student learning styles can be helpful.
- Content or Concept Outlines: By far the most common feature of curriculum guides is an outline of content or concepts being taught in the different subject matters. Too often, however, this is the *only* element found in curriculum guides. It is important that this section be included, because it represents a more detailed explanation of the scope and sequence of all subject matter taught in the curriculum.
- Media: Print and Nonprint: A major section of the curriculum guide would be a list of resource materials currently being used in the school district. This section enables curriculum leaders to determine not only what materials are available but also the value of these materials in the various subject matter areas.
- Community Resources: Many school districts are located in communities with virtual storehouses of information that can be used. Resource speakers, materials found in the community, and locations of interests can be cataloged in the curriculum guide.
- Evaluation Procedures: While this element is not as common as other elements in the guide, specifics of how the curriculum guide will be evaluated can be an important inclusion. Procedures for up-

dating and revising the guide can be extremely helpful in preventing it from falling into disuse.

- Instructional Objectives: Instructional objectives are not often found in curriculum guides, since they are developed by the individual teachers. The specificity of instructional objectives and the sheer number of instructional objectives normally prohibits their inclusion. The responsibility is probably best left to the individual teacher and logically integrated into daily or weekly lesson plans.

3. *How will the curriculum guide be used?* The guide should be developed with the intention that it will be used on a daily or weekly basis. Selection of concepts, methods, and materials should be an ongoing process in curriculum development. However, one of the fundamental reasons for use or nonuse of curriculum guides often lies in its format. The format should be one that encourages its use. Typewritten guides which allow adequate margin space for notes, reactions, and suggestions are extremely helpful. This technique encourages daily and weekly use of the guide by the teacher.

The curriculum leaders should schedule regular meetings to discuss strengths and weaknesses of the guide. Such a regular, scheduled evaluation process will usually promote greater use of the guide. Finally, it is helpful if the guide is bound in a loose-leaf fashion. This will allow for the addition and deletion of materials on a regular basis throughout the year.

Step Six: Identification of Instructional Objectives

Instructional objectives stand in contrast to the other goals and objectives found in curriculum development, since they are very specific in nature. Instructional objectives are defined as exact behaviors or attitudes that students will demonstrate on a day-to-day or weekly basis.

Each instructional objective should have three elements: condition, type of activity, and criterion. The elements are defined as follows:

Condition: The circumstances or materials used when the instructional outcome is demonstrated.

Type of Activity: The nature of the behavior or the attitude that the student is expected to demonstrate.

Criterion or Criteria: The standard or measure that assesses how well the behavior or attitude is demonstrated.

Equally important, instructional objectives are written in three domains: cognitive, affective, and psychomotor. The cognitive domain deals with knowledge or content. The affective domain deals with feeling and emotions. The psychomotor domain deals with physical skills. The curriculum should represent a balance of all three domains since they show a concern for the total student.

It is important to remember that the responsibility for writing instructional objectives lies in the hands of the individual classroom teacher; and that instructional objectives identify exactly how the school goals, subject goals, and competencies are being carried out. Illustrations of instructional objectives include:

- Language Arts—twelfth grade: After discussing and analyzing elements of creative writing, the student will use topic sentences at the beginning, middle, and end of a paragraph. A

minimum of one topic sentence will be written for each paragraph.

- Mathematics—third grade: In a money exchange role-playing exercise, the student will make the correct change for any item selected for purchase. No purchase will be greater than five dollars in value.
- Social Studies—Kindergarten: After viewing the television segment of "Captain Kangaroo," the student will be able to identify at least two consequences suffered by Mr. Greenjeans when failing to fulfill personal household duties.

Step Seven: Curriculum Evaluation

Evaluating the curriculum is not an easy task. Factors of geographic isolation, limited staff, and multiple responsibilities compound the problem. Finances, resource personnel, and availability of outside experts all play a part in determining the kind of curriculum evaluation necessary. However, if curriculum procedures are implemented systematically, evaluation should be a natural outcome of the development process. Curriculum evaluation can be achieved in several ways:

1. The employment of evaluation measures that assess curriculum accomplishments is one of the most basic methods.

   Curriculum leaders assess the individual accomplishments at each level to determine how well planned outcomes have been achieved. This type of evaluation is conducted by use of surveys and criterion-referenced tests.
2. The use of standardized tests is another method which can be employed to evaluate the curriculum. The ranking of students in terms of cognitive achievement is a measurement of the school district's effectiveness. However, it should be noted that standardized tests do not evaluate the total school curriculum. They only measure how well the students retain subject matter, and this is merely a comparison to other students throughout the United States. Other kinds of measurements may be necessary.
3. Systematic written feedback from students, parents, and teachers can be used to evaluate the curriculum. Questionnaires asking for pointed feedback can be used as a method of curriculum evaluation. Questionnaires and conferences need not be in written form exclusively, however. Oral feedback, collected via open meetings and conferences, can be an effective evaluation measure.
4. Detailed studies of current students and of graduates can be a valuable way to evaluate curriculum. Detailed information can be obtained from students that assesses how well the curriculum is assisting or has assisted students in their daily lives.
5. One of the most effective forms of curriculum evaluation is the use of accreditation evaluations provided by national agencies. Accrediting team visits can be a comprehensive means of determining curriculum effectiveness.

Step Eight: Curriculum Revision

Curriculum revision must be considered a natural outcome of evaluation. However, it is important for the school

district to remember that curriculum revision is the final step in the total model of curriculum development, not the first step. Second, it is important to remember that curriculum revision must be based on a solid foundation of data which suggest the need for revision.

Acceptance of curriculum revision is directly related to how well the school district values and understands the other steps necessary in curriculum development. As a consequence, there are four major factors to keep in mind when initiating curriculum revisions:

1. *Curriculum revision must be perceived by curriculum workers as a method leading to curriculum improvement.* Curriculum development is the process of change. If systematic development of student competencies is to occur, all school personnel must recognize the necessity of change. Equally important, they must recognize that curriculum change cannot afford to be erratic; change occurs in an orderly fashion.
2. *Curriculum revision will never be fully implemented without an appreciation and understanding of the various steps of curriculum development.* "Holding" actions will inevitably be initiated by faculty who do not value or understand the steps of curriculum. Such actions are observed when curriculum workers impede progress by refusing to participate or become involved in curriculum activities.
3. *Curriculum subversion is an alternative behavior for those persons who do not understand and appreciate curriculum development.* While subversion is quite close to holding action, subversion involves planned activities that block curriculum revision. Such plans usually involve redirecting activities to make the curriculum process unproductive.
4. *Curriculum revision will not occur without fostering and developing leadership in the curriculum ranks.* Effective curriculum revision requires strong leadership. The time spent on cultivating leadership in curriculum workers ultimately leads to a much greater acceptance of change, and productive change leads to curriculum improvement.

Conclusion

If school districts are to maintain their identity and autonomy in the 1980s, they must have a complete working knowledge of curriculum development. This means knowing how to identify and use a curriculum leader who can employ the necessary steps in curriculum development. The very existence and improvement of public schools depends on how well they can specify their mission to verify their accomplishments. Those school districts which are committed to improving their role in an increasingly complex society will need to give attention to enhancing their curriculum structure.

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What Can Principals Do?

Leadership Functions and Instructional Effectiveness

Daniel L. Duke

This article describes what instructional leaders should be doing in light of recent research on teacher and school effectiveness.

After a decade in which researchers and pundits all but forgot about the value of educational leadership, the principal has again emerged as a key element in school effectiveness. Considerable attention, if not rigorous inquiry, has been devoted to one dimension of the principalship in particular—instructional leadership (Morris et al., 1981, pp. 13-14).

What remains unclear are the specific functions of instructional leadership, and how observers can recognize it when they see it.

One difficulty is the lack of conceptual clarity concerning the notion of instructional leadership. Should primary emphasis be placed on "instruction," as in the case of the British head teacher who spends as much time in actual contact with students as he or she does performing administrative tasks? Or is "leadership"—suggesting supervisory responsibilities—to be stressed?

How is instructional leadership to be distinguished from other forms of building leadership? Is a principal who spends time trying to secure funds from the central office for new textbooks less of an instructional leader than his

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counterpart who sits in classrooms observing teachers work?

Because of problems such as these, the term instructional leadership will not be used in this article. Instead, I shall speak of the leadership functions associated with instructional effectiveness. Such a conceptualization has the benefit of linking my observations with an existing body of research—the teacher effectiveness and school effectiveness literature. In addition, by addressing leadership functions rather than instructional leadership, I imply that there are a *variety* of skills or behaviors associated with effective instruction.

Instructional leadership, on the other hand, seems to convey more of a unitary nature, as if it entailed a specific and stable set of personal characteristics. Such a notion does little to facilitate efforts to observe differences between principals and train them to be more effective.

Assumptions Support Concept

Several important assumptions support the concept of leadership functions associated with instructional effectiveness. First, no single leadership skill or set of skills is presumed to be appropriate for all schools or all instructional situations within a school. Therefore, principals who wish to maximize their effectiveness stand to benefit from the acquisition of a repertoire of leadership skills. The foregoing assumption further implies that the leadership functions associated with instructional effectiveness can be learned. The adage that leaders are born rather than made thus receives no support from the present analysis.

According to my original assumption, it would be a mistake to take for granted that leadership functions which contribute to instructional effectiveness in urban or large schools would necessarily be as helpful in rural or small schools. Similarly, the critical leadership functions for periods of growth or stability may not always be those called for during periods of fiscal stress and retrenchment. Much remains to be learned, however, about which leadership functions are most appropriate for which settings and circumstances.

A final assumption is that the structure of school organization influences the behavior of principals and that principals, in turn, influence the structure of school organization. This relationship may be described as one of "reciprocal determinism."[1] Principals may be expected to influence instructional effectiveness directly by interacting with teachers, as well as indirectly by creating an organizational structure that facilitates instructional effectiveness.

The effectiveness of instruction and the behavior of teachers, in turn, may exert an impact on how principals interact with teachers and modify school organization. Thus, it can be extremely difficult to achieve clear distinctions between the causes and the effects of instructional effectiveness.

The concept of instructional effectiveness suggests that teachers are able to accomplish, without undue expenditure or unethical practice, the objectives they set for themselves or which are established for them by school au-

1. This term was first used by Albert Bandura, Department of Psychology, Stanford University.

thorities. These objectives range from student academic achievement as measured by standardized tests to the inculcation of certain desirable work habits and character traits associated with good citizenship.

During the past two decades, research on the correlates of effective teaching has steadily increased (Brophy, 1979; Clauset and Gaynor, 1981; Duke, 1979; Edmonds, 1981; Glasman and Biniaminov, 1981; Murnane, 1980; Rosenshine, 1978; Stallings, 1980; Stallings, 1981).

The research on instructional effectiveness, of course, is not without criticism. Problems have been identified with sample selection, methods of analysis, and generalizability of results. The percentage of variance in student achievement accounted for by school and instructional factors sometimes seems insignificant when compared to that attributable to socioeconomic status and other exogenous factors.

Few longitudinal studies have been done to determine the stability of effectiveness correlates over time. The criteria for judging effectiveness too often are limited to standardized measures of achievement. Many more studies have focused on elementary schools than secondary schools.

Despite the fact that these and other shortcomings exist in the data base on instructional effectiveness, it would be a mistake to act as if nothing were known about the subject. Principals, after all, still must see that decisions are made on matters pertaining to instruction, whether or not the final word from researchers is in on how students should be taught.

What, then, can be said currently about instructional effectiveness that may be of help to principals? The literature on the subject is relatively unambiguous about the importance of six key factors:

1. Competent teachers
2. Adequate time for direct instruction
3. An orderly learning environment
4. Adequate instructional resources
5. Communication of high expectations
6. Continuous monitoring of progress.

While there doubtless are other factors that can contribute to instructional effectiveness, these six provide a sufficient basis for investigating relevant leadership functions. The question that arises and serves as the focus for the discussion to follow is, what can principals do to see that these key elements of instructional effectiveness characterize their schools?

I identify four directly related leadership functions and two functions that are indirectly related to the achievement of instructional effectiveness. The four "direct" functions include staff development, instructional support, resource acquisition and allocation, and quality control. Two additional functions—coordination and troubleshooting—make it possible for principals to engage in the other functions with a minimum of wasted effort. The six functions are depicted in the diagram, and are discussed on the following pages.

Staff Development

The development of an effective teaching staff has little to do with luck.

It results from at least three activities in which principals can play crucial roles—recruitment, inservice education, and staff motivation. Without capable teachers, it is unrealistic to count on any of the other factors linked to instructional effectiveness.

Schools cannot expect a steady supply of talented teachers to be available for openings, even during times when jobs are scarce. In recent years the number of qualified education graduates has diminished dramatically. Critical shortages have been noted in such subjects as mathematics, science, and vocational education.

To obtain the best available teachers, principals must actively recruit individuals. Assuming that talented teachers are as interested in favorable working conditions as they are in salaries and benefits, principals must let prospective applicants know that their skills will be appreciated.

Once a strong faculty has been built, it must be maintained. Even the most capable teachers can lose touch with new developments in their fields or become complacent. Seeing that an active program of inservice activities is available on a continuing basis to teachers may be one of the principal's most critical leadership functions (Stallings, 1981). Inservice should not, however, be viewed as an "injection" which, when taken once in a large dose, will "cure" the faculty for a long period of time.

For this and other reasons, it is unwise for principals to rely on inservice solely as a mechanism by which their decisions can be imposed on faculty members. Teachers should be actively involved in planning and, in some cases, executing inservice activities. Not only are they more likely than the principal to know their needs, but the likelihood they actually will implement new ideas is greater if they are part of inservice decision making (Duke and Meckel, forthcoming).

The model of ongoing staff development that I most favor calls for principals to regard inservice activities as opportunities for teachers and other staff members to acquire the information they need to make sound decisions about personal and professional improvement. Principals should ensure that a variety of alternatives are presented and evaluated.

This model implies that the way to maintain a highly professional faculty is to treat teachers as if they were capable of exercising leadership. Principals must make teachers feel indispensable—a course of action that may require forfeiting their own claim to indispensability. Few feelings are quite as motivating as the sense that one is an essential and irreplaceable part of an organization. Building principals are in the best position to cultivate and reinforce this feeling.

Instructional Support

A second key leadership function for principals is instructional support, a rather broad rubric under which is subsumed time management, record keeping, classroom control, and a variety of other activities intended to maintain environments in which teaching and learning can occur. Teachers can readily distinguish between principals who provide instructional support and those who do

not. The latter, for example, fail to protect teachers from excessive paperwork and interruptions, thus reducing the time available for planning and direct instruction.

Teachers frequently complain that school meetings result in too much wasted time; time that otherwise might be spent with students or in preparation for class. Some faculty meetings are essential, however, for information sharing, decision making, and coordination. Principals familiar with group dynamics can increase the likelihood that meetings will run smoothly and efficiently (Gordon, 1977; Schmuck et al., 1977). Teachers can be trained to take an active part in facilitating group interaction.

Another aspect of instructional support where principals can make a difference is attendance (Duke, 1980; Duke and Meckel, 1980b; Stallings, 1981). When students cut class or are absent from school without a legitimate excuse they typically miss assignments and fall behind their classmates. Teachers then must take time away from direct instruction to help them catch up. Chronic absentees frequently drop so far behind that they have little choice but to give up or drop out. Principals who devote energy to monitoring attendance, keeping parents informed, and maintaining systematic management plans designed to minimize unnecessary absenteeism contribute greatly to instructional effectiveness.

Perhaps the most important instructional support function which principals can provide is the establishment of an atmosphere of orderliness throughout the school. Recent research suggests that orderliness is critical to student achievement, and the principal is the key to its realization (Duke and Seidman, 1982; Edmonds, 1981; Gottfredson and Daiger, 1979; National Institute of Education, 1978).

Students cannot be expected to learn efficiently if they are fearful of being victimized, subject to frequent disruptions in class, or easily tempted to break rules. Teachers cannot be expected to teach effectively if they must spend valuable time dealing with student behavior problems and if they fail to receive administrative backing. Establishing orderly classrooms depends to a great extent on the establishment of an orderly school environment.

To this end, principals can see that rules are collaboratively determined and publicized; consequences for breaking rules are specified and enforced; and procedures are in place for resolving conflicts and disagreements (Duke, 1980; Jones and Jones, 1981). They also can assist teachers in refining classroom management skills and in involving parents in the resolution of problems.

Resource Acquisition and Allocation

Adequate learning materials, appropriate facilities, and skilled support personnel are essential to instructional effectiveness. In studies of high schools confronted by fiscal stress and retrenchment, some principals seem to be able to secure adequate resources while others helplessly watch their operating budgets shrink (Duke, Cohen, and Herman, 1981; Duke and Meckel, 1980a). Those who see that their teachers continue to get textbooks, ditto services, laboratory equipment, teacher

aides, and the like have learned how to cut through central office "red tape" and generate alternative funds. They cultivate close ties with their superiors and learn of the availability of new resources before colleagues do (Barsky, 1975).

Resource acquisition and allocation can be a critical leadership function even when schools are not experiencing retrenchment. Examples can be found of schools within the same district that differ in the resources they receive and the way resources are distributed. Many districts now permit building principals to play an active role in developing school budgets. Principals must assess the needs of their faculties. If resources are not allocated in ways that maximize the likelihood that school objectives will be achieved, the chances are great that some of the blame must rest with the principal.

To ensure that resources are allocated effectively, principals should initiate a continuous planning process that relies heavily on faculty input and the projection of future needs. If faculty losses are predicted for coming years, a principal with foresight may begin to encourage team teaching and an active volunteer program. If a school is scheduled to receive students with special learning needs, the principal can plan in advance to lobby for additional resources, possibly including teacher aides and other support staff.

Quality Control

All organizations, including schools, have a control structure to ensure that their objectives are achieved. The primary mechanisms for maintaining control are evaluation, supervision, rewards, and sanctions. Skilled principals know when to use which mechanisms to obtain quality performance from their staff members.

Given the emerging consensus among researchers that a crucial factor in instructional effectiveness is the communication of high expectations to all students, it becomes vital that principals—in their capacity as supervisors—communicate high expectations to teachers (Brookover et al., 1978). The latter should be regularly reminded of school objectives, evaluated, and rewarded when they achieve them. Teachers who consistently fail to achieve objectives, even after inservice opportunities designed to correct the situation, must be subjected to sanctions, including dismissal.

Principals must monitor student progress closely to determine the extent to which instruction is effective. They need to monitor what goes on behind the classroom door by using classroom observations, standardized test data, grades, teacher and counselor comments, and information concerning the activities of graduates. Since no administrator can accomplish this feat alone, except in very small schools, principals must learn to delegate responsibility for quality control. Assistant principals, department chairpersons, and teachers can be enlisted in efforts to assess progress.

At times the principal's quality control functions may bring him into direct contact with students. Providing official recognition for student achievement helps reinforce teachers' efforts. Sometimes principals initiate special pro-

grams with slogans designed to foster school pride in academic as well as extracurricular success.

Energy that once was reserved solely for athletic contests has been channeled into preparations for standardized achievement tests at Ribald High School in Jacksonville, Fla. The principal inaugurated "Beat the Test" pep rallies to stimulate students to take tests seriously.

As a result of principal initiative at Northern High School in Detroit, Mich., students wear buttons proclaiming "Northern—A School of Winners."

Public relations activities intended to create a shared sense that the business of the school is achievement probably represent some of the wisest investments a principal can make in the success of the school.

Coordination

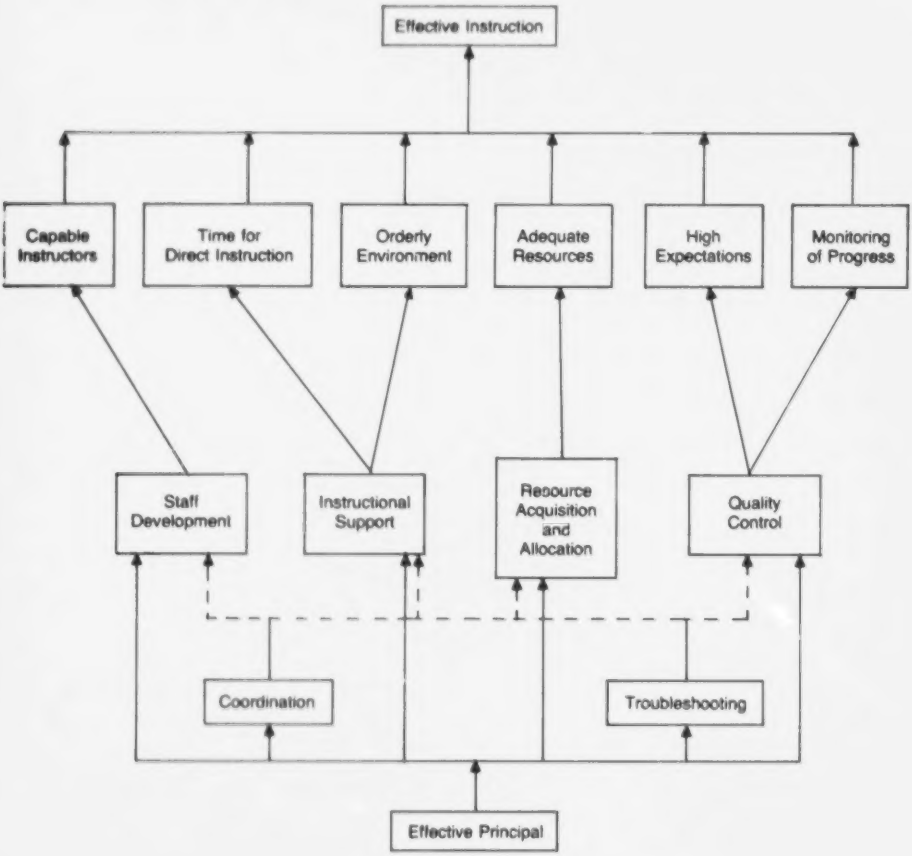
The leadership functions discussed so far generally are directly relevant to instructional activities. No less important, however, are those functions that call on principals to ensure that the entire school runs smoothly. Perhaps the central function in this regard is coordination—the actions necessary to ensure that the individual units of the school do not work at cross-purposes or duplicate operations. Principals must realize that teachers may actually be effective on an individual basis and yet undermine schoolwide efforts to achieve objectives.

The coordination function has become more complex as schools have employed more specialists and non-teaching personnel and as the number of special programs has grown (Duke and Seidman, 1982). It is not unusual for many schools to encompass a half dozen externally funded programs, including those for the disadvantaged, handicapped, migrant, and non-English-speaking. Frequently each program requires an advisory committee, annual planning and proposal writing, in-service, and evaluation. The more a principal can do to combine these common activities, the less likely are teachers to become stressed and overworked. Seeing that program specialists and non-instructional personnel share information regularly with classroom teachers can prevent teachers from growing resentful and uncooperative.

Coordination is needed among teachers as well as between teachers and support staff members. Examples of areas where instructional effectiveness can be enhanced by coordination include planning for school improvement, setting school rules, purchasing textbooks, developing curriculum goals, assigning homework, arranging teaching and classroom schedules, utilizing audio-visual resources, scheduling field trips and extracurricular activities, and preparing the annual school budget. The more principals draw their staff members into shared decision making concerning these and other matters of schoolwide significance, the more likely are teachers to feel a personal "stake" in the success of the whole school, rather than just their own classes.

A final area where coordination is important entails relations between the school and external forces, especially the central office and the community.

Leadership Functions and Instructional Effectiveness



Involving parents in school planning can lead to the kind of broad-based support so vital to the achievement of school objectives (Lipham and Fruth, 1976). Similarly, keeping central office staff members abreast of developments at the building level is important. Coordination between schools also is vital to instructional effectiveness, since the success of secondary schools is highly dependent on the kind of preparation students receive in earlier grades.

The principal is the key person in most efforts to see that close working relations are maintained between schools, central offices, and parents.

Newsletters, meetings, open houses, phone contacts, and gatherings in local homes are but some of the mechanisms principals can employ to foster coordination. It is likely that the future will find desk-top computers, electronic mail, and sophisticated telecommunications devices being used to supplement these conventional processes.

Troubleshooting

No matter how well-planned and coordinated a school is, problems occasionally will arise. Sometimes they derive from internal impetuses, such as misinterpreted communications, faculty turnover, or workload increases. Sometimes they result from developments external to the school, such as declining enrollments, new laws, and reductions in school funds. The likelihood that these problems will undermine instructional effectiveness is reduced when principals see that troubleshooting mechanisms for anticipating and resolving problems are in operation (Duke, 1980).

A variety of ways to troubleshoot are available to principals. They range from relatively formal approaches such as regular department meetings and a designated ombudsman to informal processes such as daily tours of the school and chats with students and staff members. Routine briefings with the management team before school begins each morning and debriefings each afternoon prevent administrators from becoming isolated or overly specialized.

Various techniques for improving communications within schools are presented in *The Second Handbook of Organization Development in Schools* (Schmuck et al., 1977). The authors suggest that one of the most critical roles a principal can play is that of "convener of organizational problem solving." This role requires a set of special skills, including describing behavior, checking perceptions, paraphrasing, and summarizing. Teachers and other staff members also can be trained in problem solving.

Once trained, staff members can be encouraged to develop contingency plans so that individuals will not be caught by surprise or left without a course of action when problems periodically occur. A school that anticipates problems and is prepared to deal with them before they get out of hand is one that is less likely to become sidetracked in its quest to achieve primary objectives.

Recognizing an Effective Principal

Effective principals traditionally have been described in terms of their personality traits (firm, but fair; decisive; sensitive) rather than functions or skills. As a result, it has been relatively difficult for observers to agree on what to look for when differentiating between more and less effective principals.

To assist principal-watchers in their efforts to recognize effective principals, some tips are offered in the form of questions. Representative questions are provided for each of the six leadership functions.

Staff Development

1. Does the principal possess a plan for recruiting the best possible teachers?
2. Is the staff encouraged to participate in inservice activities?

3. Does a plan exist for the regular offering of inservice opportunities?
4. Do staff members participate in decision making regarding inservice?
5. In what ways does the principal encourage teacher leadership?
6. How does the principal respond when a teacher is having trouble meeting instructional objectives?

INSTRUCTIONAL SUPPORT

1. What does the principal do to minimize the time teachers spend on paperwork, record keeping, and classroom management?
2. What does the principal do to minimize classroom interruptions?
3. Does the principal encourage teachers to clarify their classroom management goals and to develop classroom management plans?
4. What does the principal do to minimize student absenteeism?
5. Are noninstructional activities carefully scheduled so as not to interfere with classroom instruction?
6. Are regular efforts made to keep teachers, students, and parents aware of school rules and policies?
7. Are school rules reviewed regularly and are unnecessary rules eliminated?

RESOURCE ACQUISITION AND ALLOCATION

1. Are resources allocated on the basis of staff input?
2. Are efforts made to ensure that resources are allocated fairly within each classroom as well as among classes?
3. Does the principal participate in the development of the school and district budget?
4. Does the principal maintain close contact with his superiors?
5. How does the school's operating budget for materials compare with other local schools' budgets?
6. What does the principal do to generate additional sources of revenue?
7. Do teachers have the materials they need to initiate orderly learning on the first day of school?

QUALITY CONTROL

1. Does the school possess clear goals and objectives?
2. What does the principal do to see that the staff is aware of school goals and objectives?
3. What does the principal do to see that goals and objectives are being achieved?
4. What does the principal do to communicate high expectations to staff and students?
5. Does the staff have high and consistent expectations of the principal and are these communicated clearly?
6. What does the principal do to recognize staff and student achievement?
7. Does the principal regularly visit classrooms and meet with teachers?
8. What occurs when a particular student is not achieving according to expectations? (i.e., Is the first reaction to assess teaching or to find reasons why the student cannot learn?)
9. Do evaluation plans include provisions for assessing unintended negative outcomes?

COORDINATION

1. Does the principal regularly review the operations of each department?
2. What do the principal and staff do to minimize duplication among subunits of the school?
3. What does the principal do to see that staff members are aware of each other's activities and plans?
4. Does the principal delegate authority to his assistants and chairpersons to improve coordination?

5. What does the principal do to encourage schoolwide, systematic planning? Is time for planning made available to staff members?

TROUBLESHOOTING

1. What does the principal do to encourage staff members to anticipate problems before they arise?
2. Do contingency plans exist for each department and class?
3. Upon what sources of information does the principal rely for accurate feedback on staff, student, and community morale?
4. Are efforts made to obtain data from as close to the source of problems as possible?
5. What does the principal do to ensure advance warning of any changes in district policy?
6. What mechanisms exist for handling problems once they arise?
7. Are staff members trained in conflict resolution strategies?
8. To what extent does the principal actively involve staff in problem solving?

The preceding questions are based on the belief that there are specific actions that principals can take in order to increase instructional effectiveness. Such a belief supports the notion of special skills training for principals. In other words, effective building leadership does not result only or automatically from on-the-job, trial-and-error learning. During these times of increased visibility for principals and intensified public claims of educational mismanagement, school leaders may not be able to afford to make mistakes, at least ones that preservice or inservice training and planning could have prevented.

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Time-on-Task: A Look at What Erodes Time For Instruction

Several factors influence how much learning time is available to students. The writer urges administrators to be sensitive to them.

By Richard A. Rossmiller

The concept of time as a valuable commodity is firmly embedded in American culture. Adages such as "time is money" and "a stitch in time saves nine" typify this notion.

In education, time-on-task has popularly been considered a primary determinant of student learning because it seems to offer such a simple solution to the problem of poor student performance. That is, the more time they spend on a subject, the more likely it is that Johnny or Mary will learn. Unfortunately, however, the answer is not that simple. Time-on-task is only one piece of a complex puzzle; merely increasing student time-on-task will not remedy poor performance.

Much of the current interest in the way time is used in schools can be traced to the work of Carroll (1963). Carroll, who recognized that student time is an important resource in the learning process, distinguished between elapsed time and time-on-task. He defined time-on-task as the time during which the learner is "paying attention" and "trying to learn" (p. 725). He acknowledged that the amount of time needed to learn is determined by the student's aptitude and ability to understand and follow instructions, and by the quality of instruction. Carroll's model

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of learning implied that, all other factors being equal, learning was a function of the student's time-on-task.

Time Available for Learning

Several factors influence the amount of time actually available for student learning. Among them are the length of the school year, the number of days a student is present in school, and the number of days school is not held as a result of such factors as strikes and inclement weather.

Let us assume a school year of 180 days and a school day of 6 hours, thus yielding 1,080 hours of potential time for instruction. If we assume an average attendance rate of 90 percent, the "average" student will lose 108 hours of school time. If one further assumes that 5 percent of the scheduled school days will be lost as a result of inclement weather, employee strikes, and staff in-service development activities, the school year is reduced by an additional nine days, or 54 hours. Thus, the "average" student will have only 918 hours in which he or she is actually in school rather than the 1,080 hours implied by the school calendar (see Table 1).

Observations by a number of researchers suggest that only about 60 percent of the school day is actually available for instruction.

The length of the school day also has a bearing on the amount of time available for instruction. Observations by a number of researchers suggest that only about 60 percent of the school day is actually available for instruction. Time is required for lunch, for passing between classes, for announcements, and for other "housekeeping" activities. Consequently, the time actually allocated for instruction during the typical school day is considerably less than 6 hours. If 40 percent of the typical school day is allocated to noninstructional activities, the 918 hours will be reduced to only about 551 hours.

Furthermore, not all of the 551 hours allocated for instruction are actually devoted to instruction. A certain amount of time within any classroom must be devoted to procedural activities. The actual amount of time devoted to such activities within a classroom will vary, depending upon such factors as the grouping practices employed, the students' academic ability and behavior, taking attendance, bringing the class to order, and dealing with late arrivals. Time also must be devoted to giving instructions, answering students' questions, and the like.

This "process behavior" will vary from classroom to classroom, but typically will consume from 10 to 15 percent of the class time. If one assumes that 12 percent of the time available for classroom instruction is devoted to activities of this type, the net time available for instruction is reduced to 485 hours. The skill of the teacher in managing transitions between activities is an important factor in time utilization. Some teachers are able to achieve transitions with minimal disruption; others have great difficulty in doing so.

In summary, less than half of the 1,080 hours that constitute a typical

Table 1
Time Allocated to Schooling

Gross School Year (180 days @ 6 hours)	1,080 hours
– 10% absenteeism	108 hours
– 5% loss to inservice activities, employee strikes, inclement weather, etc.	54 hours
	918 hours
Net School Year	
– 40% of school day allocated to non-instructional activities—lunch periods, class passing, attendance taking, etc.	367 hours
	551 hours
Gross Time Allocated for Instruction	
– 12% of class time for process activity—attendance, establishing order, disciplining students, answering questions, distributing materials, etc.	66 hours
Net Instructional Time	485 hours
– 25% of time off-task	121 hours
Net Time-on-Task for "Average" Student	364 hours

school year are actually devoted to the instruction of students. Clearly, it is important that school administrators be at least as concerned about increasing the net time available for instruction as they are about increasing their students' time-on-task.

Studies of Time-on-Task

The "average" student will not be paying strict attention to the subject under study during all 485 hours of instructional time. That is, no student will be on-task all of the time. The actual amount of time that students will be on-task will depend upon such things as their interest in the subject, their attention span, their motivation to achieve, the mode of instruction, the behavior of their classmates, the skill of their teacher, and physical conditions within the classroom.

It is little wonder that observational studies of student behavior have yielded wide variations in the amount of time-on-task which is observed for individual students. Variations occur across days,

. . . the data available indicate that girls are on-task more than boys and that students of high ability seem to be on-task more than students of low ability.

across students, and across classrooms. Although little is known concerning how the individual characteristics of

students relate to their on-task behavior, the data available indicate that girls are on-task more than boys and that students of high ability seem to be on-task more than students of low ability. Individual students vary markedly from day to day in the percentage of time they are on-task. On-task behavior is generally lower on Mondays and Fridays and before and after holidays—results which will not surprise any experienced teacher or administrator.

The results of recent studies of classroom behavior indicate that the "average" student is on-task about 70 to 75 percent of the time.

The results of recent studies of classroom behavior indicate that the "average" student is on-task about 70 to 75 percent of the time. This means that another 121 of the 485 hours of net instructional time are lost, leaving 364 hours during the typical school year when the "average" student is actively engaged in the study of school subjects. Thus, for the "average" student only about one-third of the typical school year is actually spent attending to the subjects taught in school.

Given the amount of publicity time-on-task has received in recent years, one might justifiably think that it has clearly been established that time-on-task is the primary determinant of student achievement. In fact, however, the evidence does not support such a conclusion.

Frederick and Walberg (1980) concluded from their review of existing studies of time and learning that time devoted to school learning is a *modest* predictor of achievement. Karweit (1982) reviewed several studies of time and learning, paying particular attention to the relationship between time-on-task and student academic achievement. She noted that even in the Beginning Teacher Evaluation Study (BTES), probably the most widely cited and influential time usage study conducted to date, only 35 percent of the subtests produced significant statistical relationships between time-on-task and student achievement gains.

Clearly, time-on-task is not a panacea for poor student performance. Student learning is a result of the interaction of many factors. Research to date, however, has not probed the interrelationships between these factors. We still have much to learn about the complex set of variables and processes which influence and control student learning.

Implications for Practice

We have noted that a multitude of forces tend to erode the amount of time that is actually available for instruction in schools. Administrators must be sensitive to the effect of these forces and strive to reduce the amount of time within the school year which is either lost or diverted to noninstructional activities.

Activities within classrooms also require scrutiny. Curriculum tracking and classroom grouping practices affect the composition of classes and the time spent on-task by students. The teacher's skill in classroom management is also an important factor affecting the on-task time of students. Administrators should ensure that teachers are provided with

objective information about how students use time in their classes as well as suggestions for improving classroom management.

In conclusion, time is not the only factor that influences student learning, but it is an important one. Administrators can increase the amount of time available for instruction by examining more closely the merit of activities which erode instructional time and which too frequently are taken for granted.

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The Principal and Computerized Instruction: A Six-Step Planning Model

The model described here will enable principals to help teachers develop computer skills and overcome their hesitancy to use them in the classroom.

By L. David Weller and Delores M. Wolfe

IT IS AN ESTABLISHED fact that the principal is, or should be, the instructional leader in the school. As such, the principal has the primary responsibility for initiating curricular changes that reflect the demands of contemporary society.

It is estimated that some type of computer technology will be used daily in 25 percent of the typical classrooms within this decade. While the preliminary effects of computerized instruction on student achievement appear quite promising, many teachers are hesitant to cross the threshold of the computer age and actively incorporate computers into their instructional repertoire.

The principal must motivate teachers to acquire the knowledge necessary to incorporate the use of computers into the curriculum. The six-step planning model described below is one way administrators can assist teachers in developing computer skills and in gaining the necessary confidence to introduce computer technology into the curriculum.

Step 1: How Microcomputers Work

The essential first step in developing an effective partnership between teachers and computer technology requires a familiarization with the components of the microcomputer itself. The principal can demonstrate the immediate value of microcomputers through such school-related applications as scheduling and

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keeping attendance records.

Moreover, if rhetoric is kept to a minimum and generic terms such as keyboard, monitor, and memory are used, teachers can easily understand the most basic elements of computer hardware. This approach coupled with immediate hands-on experience allows for the introduction of salient peripherals such as disks, disk drives, and printers with a minimum of confusion.

Additional activities should emphasize conceptual rather than technical understanding and should focus on the variety of available computer languages, flowchart designs, elementary programming techniques, and applications for classroom instruction.

Examples of instructional programs, written and demonstrated by teachers themselves, will build confidence and illustrate that the task is neither herculean in nature nor impossible to accomplish.

Step 2: Introducing Computerized Instruction into the Classroom

If "quality assurance" (actual as opposed to promised implementation) is to exist, teachers not only need to feel secure about using the computer, they also need to understand its specific applications to their subject matter areas. Demonstrations of lower order cognitive applications such as drill and practice, tutoring, and the like, familiarize teachers with computer uses in the more traditional modes of instruction.

Similarly, examples of simulation, problem solving, and critical thinking demonstrate activities associated with the higher order cognitive skills. As for the affective domain, microcomputers can assist teachers in gaining a greater degree of consistency in presenting an organized system of attitudes and values.

Step 3: Acquiring Parent and Community Support

Fostering positive attitudes toward the computer and its application to the instructional mission of the school must be a primary consideration if microcomputers are to become an essential part of the curriculum. While many community members are acquainted with and appreciate the importance of computer technology, not all members of the school's community enjoy this vantage point. Therefore, information regarding inservice activities as well as the purposes and specific applications of microcomputer instruction directly related to the classroom should be widely disseminated.

Examples of instructional programs, written and demonstrated by teachers themselves, will build confidence and illustrate that the task is neither herculean in nature nor impossible to accomplish.

The principal has the opportunity not only to disseminate information about the computerized instructional design but also to gain public support and confidence through the local media, community awareness sessions, school newsletters, and other informational vehicles. Finally, principals can gain additional support for this instructional mode by getting parents and other inter-

ested community members to volunteer to share their experience with microcomputers.

Step 4: Matching Software with the Curriculum

Because software is the heart of the microcomputer, familiarization with existing programs and procedures for their selection and evaluation is necessary. One good source for such information is teachers who have used and/or developed various software packages in a variety of subject areas.

Teachers should be encouraged to consider the following categories when they are selecting software to match curricular objectives:

- The appropriateness of the concepts to be taught and the developmental stage of the students
- The supporting documentation—auxiliary materials and validation information
- The scope, sequence, and quality of the content being presented
- The program's presentation format in terms of clarity, pace, and ease of use
- The accuracy of evaluation techniques used to assess learner outcomes.

With assistance from personnel at the school's learning resources center, the administrator can provide additional information on available software by circulating copies of professional journals, critiques by state agencies, and independent evaluator's comments about software packages.

Two other sources for comprehensive evaluations of software programs are the Northwest Regional Educational Laboratory's Micro-Sift Clearinghouse in Portland, Oreg., and the Education Product Information Exchange Institute (EPIE) in Stonybrook, N.Y. Information from these exchanges is of particular value because software is evaluated by teachers, students, and curriculum experts with respect to their instructional quality in meeting the stated goals and objectives of the curriculum, their appropriateness for specified grade levels, the accuracy of the instructional content area, and the extent to which student evaluation correlates with subject area content.

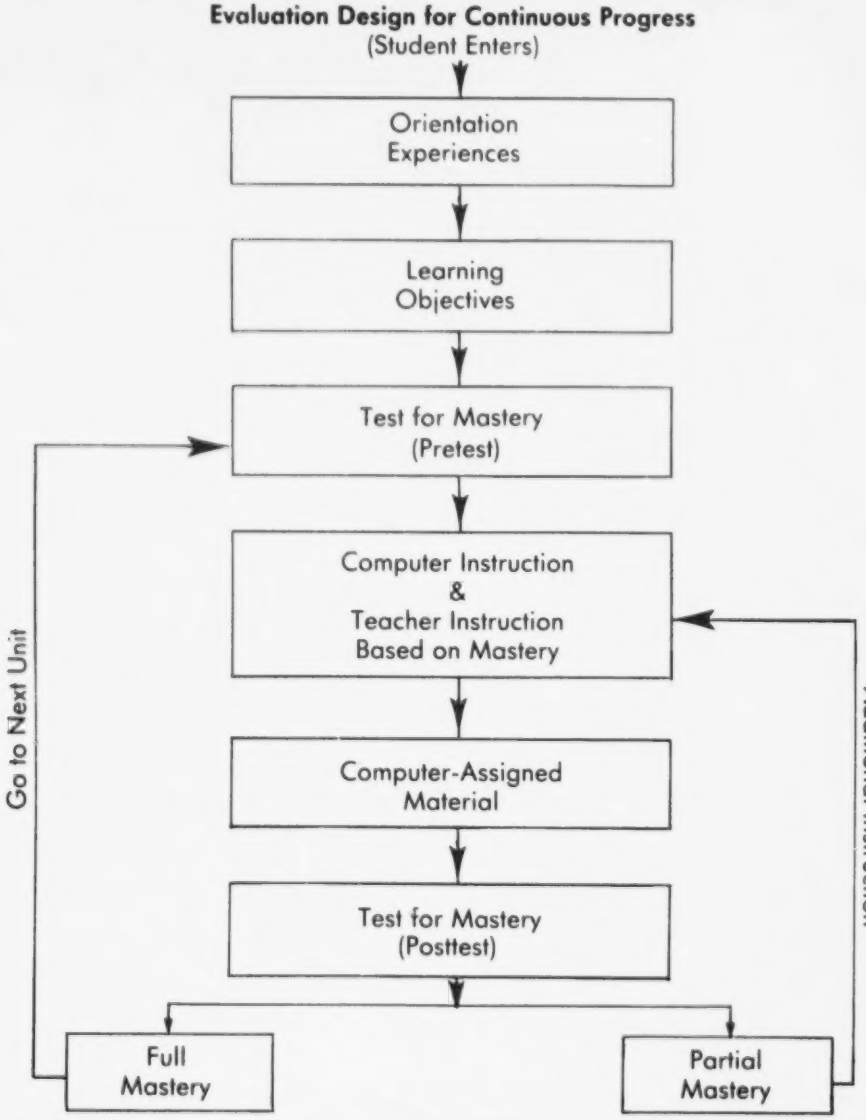
Step 5: Introducing Microcomputers into the Classroom

Introducing microcomputers into the classroom calls for a systematic approach. If students are to feel comfortable with computerized instruction, they need to develop a level of confidence in working with the computer and enjoy their initial efforts.

Hands-on activities are also necessary, not only to alleviate much of the mystique surrounding computers, but to familiarize students with the technology itself.

A plan for introducing microcomputers into the curriculum which is based on predetermined goals and objectives for each unit of instruction consists of identifying:

- The skills, attitudes, and knowledge that should be learned through computerized technology
- The instructional mode (tutoring, simulation, etc.) that will best help



the student learn the material

- The logistics of student use through time-block scheduling
- A set of clearly defined learning objectives, the instructional materials used to achieve the desired outcome,

and the type of evaluation techniques to be used to assess mastery (Tallent, 1981).

Hands-on activities are also necessary, not only to alleviate much of the mystique surrounding computers, but to familiarize students with the technology itself.

Orientation activities, complete with teacher-led demonstrations, focus on a brief description of the computer's components (keyboard, monitor, disks, printer, etc.) and the steps necessary to operate the system. Since initial interaction with the computer should be enjoyable, video games or short, teacher-made programs that catch the imagination and curiosity of students are recommended.

Step 6: Evaluating Computerized Instruction

The essential first step in software evaluation is the teacher's critique of the instructional program for its overall compatibility with previously identified goals and objectives. Note the differences and appropriate adjustments that must be made for students as they progress through the software package. The ease with which students interact with the program and the satisfaction exhibited is another technique useful for assessing the quality of the program. A regular review of computer printouts that detail student responses to assignments and test questions is an additional assessment procedure.

Finally, student feedback concerning program "bugs" and the pace at which the program progresses through the content area is crucial in determining its usefulness.

Assessing student achievement can, of course, be accomplished through a variety of means. However, a continuous progress model of evaluation (see figure) that provides for self-paced, sequential instruction can easily be introduced into the classroom to assess student progress and at the same time promote mastery learning.

A teacher-made orientation packet can introduce students to the content to be mastered. Learning objectives, a description of assignments, and an explanation of the type of tests that will be used can then be made available to students. Pretest results can be used to place students on a learning continuum and to begin those instructional activities which coincide with the initial diagnostic test results.

As assignments and tests are completed, the teacher and student can evaluate computerized printouts to determine subject matter mastery. These personalized conferences serve as the keystone of the evaluation model. If students exhibit partial mastery of a subject they need review only that portion of the content not mastered. Students who attain mastery, however, can proceed to the next instructional unit and begin the learning experience anew.

Conclusion

As the instructional leader of the school, the principal has the unique opportunity to initiate curricular changes that reflect the needs of the social order. Through staff development activities principals can assist teachers in developing the necessary skills to implement computerized instruction into their classroom curricula.

By utilizing the peer teacher concept to facilitate instruction, the administrator not only enhances the credibility of the program but provides teachers with concrete examples for applying computerized technology to their particular content area.

If principals present a model for introducing microcomputers into the curriculum that includes hands-on experience, they can promote an instructional program that fosters student learning and is compatible with the tenor of the times.

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5. The Principal as the Non-Instructional Leader

Studies of administrative time allocations have continually verified that general management of the school takes the greatest amount of the principal's day (Byrne, Hines, and McCleary, 1978).

Everything from accurately accounting for use of school funds to keeping the school food service program profitable falls in the domain of the principal as the non-instructional leader. However, while a tremendous amount of attention in the professional literature and at conferences has been given to the principal's role in instruction, little has been written or said about the general management functions of a school administrator.

This is interesting in light of the fact that principals tend to lose their jobs more often because of fiscal mismanagement, improper use of school equipment and/or supplies, and failure to exercise proper techniques to ensure the health and safety of students than for the failure to be a satisfactory instructional leader.

Non-instructional leadership addresses management functions related to health and safety, finances and business, and school facilities. Stevenson, Pellicer, and Surratt provide a 10-step procedure to help principals be prepared for all types of emergencies that might occur in the school setting. The authors conclude by arguing that if the principal does not emphasize health and safety for students and staff, a school will not be prepared to deal with either natural or man-made disasters. In such a school, human life will be in peril.

Student population projections have often forecast the closing of a school. Ronald Surmacz provides principals with a checklist as a starting point for planning the closing of a school. The article emphasizes the importance of long-range planning if the process is to be successful.

Warren and Rubenow equate the appearance of the school facility with the level of student and staff morale. These authors provide a blueprint for combatting school vandalism which causes some schools to look like battlefields. Causes of vandalism are addressed and preventive measures are offered to reduce the defacing of the school physical plant.

Fiscal management of school operations is a topic of great importance to school

principals. However, little is written about this type of management responsibility. Those articles that have been written emphasize the need for the school principal to be knowledgeable in this critical area. Kathleen Adams urges school administrators to provide valuable input into policy decisions relating to distribution of increasingly limited state funds for local education. After giving a historical overview of the changing status of state funding of public education, Adams offers several suggestions aimed at helping policymakers become aware of the ramifications of funding reductions on programs, personnel, and student outcomes.

In the final article in this section, Matthews and Upchurch provide principals with a sound set of guidelines to use when managing public monies and property. The authors remind principals that they are extremely vulnerable if an effective system for managing fiscal affairs is not in place. The principal is ultimately responsible for the proper accounting of what can easily be hundreds of thousands of dollars of internal accounts, as well as management of district funds specified for school use. The guidelines suggested will make the principal a better business manager as well as program planner, instructional leader, and decision maker.

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Emergency Preparedness Plans—How To Develop, Operate

Schools like other buildings in every community can have mechanical malfunctions, experience natural calamities, and be victims of intruders. Principals must have emergency preparedness plans to cope with any eventuality.

By Kenneth Stevenson, Leonard Pellicer, and Thomas Surratt

Although relatively few, major disasters involving serious injury and even the loss of life can and do occur on school campuses.

A large number of schools, however, have no formal emergency preparedness plans; and many of the schools that do, have plans that are outdated, incomplete or, in a majority of cases, ignored and neglected.

Ten steps are presented here for principals to pursue the development of an emergency preparedness plan and to suggest procedures for keeping the plan up-to-date and operable. Before initiating them, principals should check local school board policies as well as state rules and regulations.

Some school districts as a matter of policy require the development of emergency preparedness plans and specify minimum requirements and format. Several states mandate that schools have emergency preparedness procedures. In some cases, minimum requirements such as monthly fire drills are specified. Such local and state requirements should be incorporated into the preparedness plan developed at individual schools.

Kenneth Stevenson and Leonard Pellicer are professors, and Thomas Surratt is assistant dean, all at the University of South Carolina, Columbia.

Step 1: *Utilize a Wide Range of Technical Input in the Development Process.*

Before developing or updating an emergency preparedness plan, principals should identify the resources available to accomplish the task and the best means of gaining understanding and support for the plan once it is in place.

Some districts have central office personnel who function as in-house safety and health inspectors for the school sys-

NASSP Bulletin, December 1983, pp. 87-92.

tem. These persons have access to and knowledge of basic health codes and safety procedures. Principals should seek advice and input from them.

In districts where such a position does not exist, principals should contact district personnel such as the maintenance supervisor to determine the location of master cutoff valves, the structural composition of the school building, and the operating procedures for alarm systems and emergency equipment.

Another person to contact is the transportation supervisor to determine procedures for securing buses for evacuation from campus including lag time and alternative loading areas.

Other sources of input into the development of an effective emergency preparedness plan include the office of civil defense, local law enforcement offices, and the fire marshall's office. While the office of civil defense can provide basic data about procedures for dealing with major emergencies, the local law enforcement office can provide valuable information concerning procedures for handling many man-made crises like bomb threats and intruders on the campus. The local fire marshall can help evaluate procedures for major emergencies and inspect the school for areas of possible danger.

STEP 2: *Make the Plan Visible and Commit It to Writing.*

Securing input from those who will implement and utilize the emergency preparedness plan is as important as obtaining technical assistance. Most plans developed without involvement of school staffs, parents, and students go unused. Effective plans involve the users in both the development and monitoring of the plan. It is important that they understand and have a commitment to the utilization of defined emergency procedures.

Utilization of a committee to develop the plan has proven the most effective means of including needed information and of making the plan visible. At a minimum the committee should be composed of the principal, an instructor, the food service representative, head custodian, parent, student, and an outside expert like the fire marshall.

Reducing the emergency preparedness plan to writing helps to keep track of information that is crucial to the process. As personnel change, and new parents and students become involved with the school each year, there must be a simple way to convey the basic information about the plan. Crucial information that is unrecorded may be lost, misinterpreted, or in some cases ignored. Written communication of the plan ensures that the information can be presented in total to all concerned.

STEP 3: *Deal with the Wide Range of Potential Emergencies.*

Many individuals equate an emergency preparedness plan with a fire evacuation plan. While appropriate procedures in case of fire are crucial to an emergency preparedness plan, a good plan entails much more. Many natural and man-made disasters can occur at a school, including everything from tornados and fires to bomb threats and chemical spills. Each type of emergency has unique requirements in terms of actions to be taken to protect staff and students from harm.

Failure to recognize and differentiate among the possible emergencies can be

catastrophic. For example, when there is potential for fire, the basic action is removal of people from the building. The same action for a tornado would be disastrous.

At the very least a good emergency preparedness plan should provide procedures for the following emergencies: fire, tornado, bomb threats, mechanical malfunctions (boiler explosion, etc.), armed intruders on campus, gas leaks and chemical spills, campus accidents, and unauthorized attempts to remove students from campus.

In addition, principals should become aware of potential hazards unique to the geographic area served by the school. Hurricanes and earthquakes are two examples of potential disasters that would be of special concern in certain regions.

STEP 4: *Delineate Responsibilities of Persons Involved.*

For each potential disaster specific actions must be taken. Actions required may include sounding the appropriate alarm, checking to see that proper steps are being taken, notifying authorities, cutting off certain utilities, notification of the ending of the emergency, and follow-up with press and parents. It is virtually impossible, as well as unwise, for one individual to perform all of these functions during an emergency.

For safe and timely action to occur a team approach is best. Staff members should have specific assignments for each emergency situation. Assignments should be in writing and be emphasized at the beginning of the school year as well as periodically thereafter.

Alternate persons should be designated to perform the functions critical to the emergency plan when those having primary responsibility are away from campus. When the principal is absent, everyone at the school should know who is to assume responsibility for activation of the plan.

Similarly, more than one person should:

- know the location of master cutoffs for utilities,
- have access to a set of master keys to the buildings and electrical cabinets, and
- have quick access to and knowledge of emergency telephone numbers and other communication systems.

STEP 5: *Specify Alternative Procedures.*

During an emergency, normal procedures are often disrupted. A fire may render the alarm system useless, curtail telephone service, and/or block regular exits. If school personnel are aware of only one means to deal with a given emergency, and that procedure does not work, panic may well result during a real crisis. A good emergency preparedness plan should have "back-up" or alternative procedures for a) communicating the emergency, b) moving within and out of the building, and c) assigning responsibilities when certain key people are absent.

Such alternative procedures ensure that students and staff have a better chance of being made aware of the emergency and of taking appropriate action even when basic systems of communication and pedestrian movement are disrupted. Though several alternatives should be considered, two are very important:

First, every space should have a pri-

mary and secondary exit route from the building and a schematic of those exit pathways should be posted in that space.

Second, a back-up communication system should be available to notify both building occupants and appropriate authorities of impending emergencies at the school.

STEP 6: *Specify Unique Warnings and Procedures.*

A common problem with emergency plans is their vagueness. Plans, for example, may state, "Take appropriate precautionary action when the tornado alert alarm is sounded." Such a statement assumes that the person reading the emergency preparedness plan a) knows the appropriate action to take and b) knows the difference between the alarm used to warn of possible tornados and those for other emergencies such as fires.

Each potential emergency procedure addressed by the emergency preparedness plan should delineate specifically the *unique* alarm warning for that emergency and outline *in detail* the precautionary steps to be taken upon sounding of the alarm.

Unless this is done a teacher may well mistake a tornado alarm for a fire alarm and move the students outside. Or, upon hearing the alarm the teacher and students may huddle in a totally inappropriate place near windows in the classroom.

STEP 7: *Address Needs of Special Students and Staff.*

Even schools that have developed sound emergency preparedness plans for the general school population may need to reevaluate and update procedures because of special students and staff. Emergency procedures that are appropriate for a majority of the students and staff may well not work for those with handicaps.

Orthopedically handicapped students, for example, probably cannot navigate steps and stairs. Even if elevators are provided, they are inappropriate for use during emergencies because of the risk of power failure. Utilization of some type of "buddy" system wherein individuals are assigned responsibility to aid the orthopedically handicapped during emergencies is one approach to the problem. Installation of ramps is another possibility.

Similarly, auditory alarm systems are inappropriate for hard of hearing and deaf students. Visual signals are needed. Classes of trainable, profound, and emotionally disturbed students require special attention because they may be incapable of recognizing the danger or they may panic if their normal routine is disrupted.

STEP 8: *Require Regular Practice for Various Emergency Situations.*

Regardless of how complete an emergency preparedness plan is, the only way to ensure effectiveness is through practice. Students and staff will become proficient at procedures only to the extent they have an opportunity to experience the routine. While most schools occasionally practice fire drill procedures, many do not practice for other potential emergencies that may occur on campus. As a result, when such other emergencies occur, staff and students are not only slow to react but probably

are not fully aware of the appropriate procedures to utilize.

Practice of emergency preparedness must take into account the unexpected. Schools that have implemented effective emergency preparedness procedures practice what to do when primary escape routes are blocked, mechanical alarms are out of order, and students and staff are not in their regular rooms. Unless the school population is familiar with alternative procedures, an effective emergency preparedness plan is not really in force.

The principal and staff should continually evaluate the effectiveness of the procedures delineated in the plan. After each drill, input as to time required, problems encountered, and overall effectiveness should be discussed and the plan modified as necessary.

STEP 9: *Standardize and Emphasize the Emergency Preparedness Plan.*

Each staff member should have a copy of the emergency preparedness plan. That copy should be in a binder that is easily identifiable for ready reference. Information contained within should follow a prescribed pattern so that specific types of information are readily discernible from section to section.

A table of contents should be keyed to each type of emergency. Within each section dealing with a specific emergency would be delineated:

- the type of alarm for that emergency,
- the actions to be taken,
- those responsible for performing various tasks,
- delineation of an "all clear" signal.

In addition, the emergency preparedness plan document should contain a current listing of emergency telephone numbers. A schematic of the building(s) identifying primary and secondary exits as well as the location of master cutoffs and emergency equipment such as extinguishers and fire hose cabinets should be included.

Many schools have found the following procedures to be effective in developing a usable emergency plan document:

- Use a loose leaf binder so that changes can be made easily.
- Number and date each page. Numbering pages prevents sections from being omitted and aids in substituting updated pages.
- Provide a side tab for each section and duplicate each section on a different color of paper.
- Provide a copy of the emergency preparedness plan in "public" areas such as the lounge and media center as well as to individual staff members.
- Number each copy of the plan so that you can keep track of who has a copy and furnish updates to the original document.
- Review the document at least quarterly at a faculty meeting.
- Share a copy of the plan with the local fire department and law enforcement agencies so that they have ready reference to your procedures.
- Emphasize the plan at parent/teacher meetings and in the school newsletter.
- Establish a junior fire marshall program to actively involve and better acquaint the students with proper safety procedures at school.

- Have the plan approved by the school board to enhance visibility and to emphasize district commitment to adequate preparation.

STEP 10: *Commit the School to a Safety First Theme.*

A plan of any kind is only as good as the commitment to and understanding of it. If a principal does not emphasize the importance of health and safety for students and staff, an emergency preparedness plan will probably not be developed in a school. Even if a plan is developed, it will probably go unheeded. However, if a principal recognizes the importance of establishing an appropriate plan and instills within staff, students, and community the need to protect human life, the school will in all likelihood be satisfactorily prepared when an emergency arises.

With the host of responsibilities that school administrators face today, it is easy to put off projects that are not related to the problem of the moment. However, without an emergency preparedness plan, a principal may well face his or her greatest school crisis without adequate preparation.

To face staff, students, and community after such a crisis and have them ask, "Why weren't we ready?" would be sad and maybe catastrophic! This is especially true when with relatively little effort, following the steps outlined in this paper, an effective emergency preparedness plan is within the principal's grasp.

Editor's Note: For further consideration of this subject, see NASSP's monograph, *Effective Strategies for School Security*, by Peter D. Blauvelt.

A Checklist

Points To Consider When Faced with School Closures

Ronald B. Surmacz

The following checklist might be used as a starting point for planning to close a school.

As enrollments decline and costs increase, growing numbers of district administrators are faced with the difficult decision of whether or not to close schools as a cost-saving measure. Such an important decision should not be made haphazardly or without appropriate consideration by all parties involved.

The following checklist—although by no means complete—suggests steps that might be used in considering the closing of a school.

PRELIMINARY PREPARATION

A. *The Basic Question: Can it be done?*

1. Is it educationally sound?

   What are the present class sizes in the building to be closed and in the buildings that would be affected by the closing? What would the class sizes be with the closing? Without the closing? For the next three years?

   What would be the effect of the closing on instruction?

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Would it necessitate an alteration or change in the curriculum to make it work, or a change in the district or building schedule?

What type of building would be closed—neighborhood elementary or secondary school?

How old is the building compared to other buildings in the district that would remain open?

What would the closing do to the racial balance within the district?

2. Is it economically sound?

With rising transportation costs, would the closing really save money?

Would jobs be lost? Would they be lost through attrition or layoffs? What kinds of jobs would be lost, professional or support?

What would become of the building? Would it be used by the district for another purpose, rented, sold, or destroyed? If it is not disposed of or used, what will be the cost of upkeep?

What is the potential saving when compared with other elements in the budget (i.e., will the closing be worth it)?

If the building is sold, will its new owners be a potential source of new tax revenue for the district? Will the new owners increase employment in the district?

3. Is it politically sound?

How soon is the next election for the superintendent? For board members?

Which members of the board of education will support the plan? Which will oppose it?

If board members are elected on a ward basis, in whose ward is the building located?

What are neighboring districts doing? How many buildings have they closed?

When are contracts for teachers, support personnel, and others due for renegotiation?

Is the school a neighborhood school? Is there emotional attachment to the building within the district? Could it be declared an historic landmark?

B. *Laying the Groundwork.*

1. Advance planning—time is the key element

Do you have all the necessary facts and figures, including enrollment projections, population density, transportation routes, class size projections, suitable alternatives?

Has there been administrative coordination? Are all the members of the administrative staff saying the same thing? Has one person been designated to explain to all interested parties the various plans, their advantages and disadvantages?

Is the presentation for the board free of educationese? Can board members easily explain the presentation to their constituents?

Has the public been informed at all stages? Have they been involved in gathering preliminary information?

2. Public Relations
   What has been done to psychologically prepare all concerned for the closing?
   Have letters, open forums, opinionnaires, etc., been used to gather public opinion and support?
   Have "absolute" statements been avoided by both the administration and the board?
   Have the administration and the board been willing to make necessary adjustments based on new information?
   Have visual and graphic aids been used to make the presentations clear and concise?

CLOSING THE BUILDING

A. *Inventory All Supplies and Equipment.*
   1. How many textbooks, and what kinds, are available? How much paper and other supplies are available?
   2. Determine a system for distributing these textbooks and supplies to other buildings within the district according to their needs. Will any extra textbooks and supplies be stored or sold?
   3. Have the building administrator and the faculty members been provided with enough time and sufficient assistance to inventory the supplies and equipment? Are they expected to do it on school time with appropriate substitute teachers? Will the inventory be completed after school, on a compensatory time, or on an overtime basis?

B. *Assignment of Personnel and Students.*
   1. Are all students assigned to the same new building? Will they remain in that building for an extended period of time, or only one year? Is there a possibility that future closings will force students to transfer several times during the next several years?
   2. How will the faculty members be reassigned? Will they be moved to different buildings based on openings that exist or on their particular desires? What role will seniority play in their reassignment?
   3. Have the students and faculty members been informed in writing of their new assignments? Have those teachers who will be laid off been given the possibility of being rehired by the district before the fall term?
   4. Has the administrator of the building to which the students have been reassigned written a welcoming letter to the new students and their parents inviting them to tour the facility before the fall term? Has the building administrator written a similar letter to new teachers?

5. Did the building administrator assign students to assist the new students during the transition period?

C. *Closing Ceremonies*
1. Were appropriate closing ceremonies devised? Were the students, their parents, the building administrator, the central administrators, the board of education members, and local government officials a part of the ceremonies?
2. Were members of the central administration staff visible as the building was closing?

D. *Security*
1. Has sufficient security been planned for the building until proper disposition can be made?
2. Have the windows been boarded, floodlights placed outside, doors bolted, and fencing secured to prevent vandalism?
3. Have the local police been alerted to increase patrols in the area of the building?

E. *Real Estate Assessment and Auction of the Building (if to be sold).*
1. Have appropriate provisions been made for competitive bidding? Has a time limit been set on the bidding process?
2. Have provisions been made to dispose of the property if no bids are received?

FOLLOW-UP WORK (ENSURE THAT THE PROPER DECISION WAS MADE)

A. *How close were the enrollment, class size, transportation cost, and savings projections to the actual figures?*

B. *How have the students and faculty adjusted to the new environment? How smooth was the transition? Does local newspaper coverage reflect this information?*

Many administrators who have closed school buildings in the last five years may be able to add to this checklist. Closing a school building is not a task to be done on a moment's notice. It is a long-range operation, and must be well conceived and coordinated to be a success.

Combatting School Vandalism—A Blueprint for Action

Vandalism is unsightly, but it also destroys the morale of all who must use the school building. Here are several detailed suggestions for combatting vandalism.

By James H. Warren and Robert C. Rubenow

One measure of school morale is the amount of vandalism evident in washrooms, corridors, and classrooms. Students who are unhappy with their schools tend to express their displeasure by defacing the physical plant. Faculty members who are not happy with their working conditions may find it easy to overlook such acts and fail to take preventive action.

Some schools look like battlefields, while others are immaculate. One can sense a different atmosphere in, and attitude toward, these schools. Schools with fine athletic traditions and outstanding cocurricular programs seem to have less vandalism than schools which do not offer positive outlets for students. Students who are achieving, learning, and experiencing success in school are not vandalizing schools.

A plan is necessary if vandalism is to be effectively deterred. A carefully-developed plan of prevention is much more effective than waiting to react to each act as it occurs. As an initial step, the principal should meet with the administrative team to determine the scope of the problem. Questions to be studied include: Why is vandalism occurring? Do students have too much idle time? Does it originate with a certain group in school? Are we responsible in part or in total? Does the faculty have ideas on how to approach the problem?

Responses should be solicited from student leaders. The more people involved in defining the objective, the greater the chance of finding a solution.

Causes of Vandalism

It is important to find the root causes of vandalism and eliminate—or at least minimize—them. Vandalism is a social

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and economic evil; it tears at the very fabric of society. Not only does it add to the cost of operating schools, but it is destructive to the vandal himself. Uncaught and unpunished, the vandal continues his anti-social behavior and may become involved in major crime later in life. Pride in school, pride in home, and pride in community are important aspects of a citizen's life; such pride must be maintained or developed.

There are several primary causes of school vandalism, including outsiders, overcrowded schools, and the complexion of the community itself.

Outsiders

Vandalism often occurs after school or in the evening. Students or persons not enrolled in the school may be involved. With free time, they have a tendency to congregate near the school, which is away from their homes. Dropouts who wish to retaliate against the school for real or imagined wrongs are sometimes among those who return after hours with the intent to be destructive.

Overcrowded Schools

The size of the school can play a part in the extent to which the vandalism occurs. Placing several thousand human beings in a confined area increases the chances for frustration and anxiety. Students and staff know each other on a very limited basis. In less crowded or smaller schools, a greater percent of the student body is known by the faculty and by each other. It is more difficult for vandals to strike or for the act to go unnoticed. In overcrowded or larger schools, greater effort must be expended toward helping students identify with the school, finding positive outlets for their energies.

Makeup of the Community

The makeup of the community may have some impact on vandalism. Frustrations caused by variations in the community's economic and social value system often find outlets in vandalism. Schools should make continuing efforts to meet the needs of all constituents by coordinating with social agencies in the area.

Preventive Measures

Once the factors that may result in vandalism have been identified, the plan should continue with measures to prevent or minimize the causes of vandalism. These measures might include supervision, orientation of freshmen, working with the maintenance staff, outside and inside approaches, clearly-defined punishments for vandalism, etc.

Faculty Attitude

Faculty attitude can play a large part in preventing vandalism in schools. This attitude should be a reflection of the attitude of the administration. If it is not important to the faculty and administrators to have clean, bright facilities, the students will not care—nor will they take pride in the building.

Part of the school's inservice program should be devoted to vandalism. General faculty meetings can be used, as well as department meetings, to plan strategies for combatting the problem.

General Supervision

Building supervision during the day plays an important part in combatting

vandalism. Adults must be assigned to hall duty, cafeteria supervision, and other areas throughout the school where students are to be found outside the classroom. All adult supervisors must be aware of the most susceptible areas, such as hallways, corridors, and washrooms. Supervisors should be held responsible for their areas, and their effectiveness in these supervisory duties should be a part of their performance appraisal.

Teacher Responsibility

Assigning a teacher to one room during the day, when possible, not only prevents vandalism but will generally raise the teacher's morale. The teacher automatically becomes more possessive of the classroom because it is his or her daily working environment, and thus assumes greater responsibility for the maintenance of that classroom.

An examination of classrooms in any high school will surely reveal some to be better cared for than others—some never seem to suffer physical abuse. It is frequently the case that rooms suffering the most destruction are used by several teachers during the school day.

Parent Responsibility

Making parents responsible for the vandalism committed by their youngsters has been successful in some cases. This puts the responsibility for students' action squarely on the shoulders of the parents.

Custodian Orientation

Custodian orientation at the time of employment is very important. Custodians tend to be possessive of their buildings and to take vandalism personally. It is important that custodians clearly understand that they are not blamed for damage that is done and that the frustration of having to repair a vandalized area does not mean that all students are bad.

It is critical to move quickly to repair or clean a vandalized area. Everyone has seen a message scribbled on a wall that has been answered by a second person, and then a third; or the "kicked in" wall that remains for days, increasing in size each day as a second, third, and fourth student determines that the hole can be widened. Quick custodial response to vandalized areas will minimize the destruction.

Twenty-Four Hour Supervision

Twenty-four hour custodial supervision has been used effectively in a number of schools. The Rich Township District, a suburb of Chicago, installed an ultrasonic sound system at one campus which detects movements in an area. The system is zoned into different parts of the building so it is possible to be working in one area while closing off another area. Since this system has been installed, there has been no vandalism in the building while the device has been activated. The same system is being considered for the other two high schools.

Commitment of Students

An important factor in eliminating vandalism is having students committed to the objective. Working with student councils, athletic teams, choral and instrumental programs, and other student groups will greatly assist the school in achieving this commitment. The use of student councils and newspapers has

been a very effective means of controlling vandalism. Students who are generally considered student leaders can set the tone for other students.

Frequently students have a tendency to recommend more stringent disciplinary measures for other students than would adults. A high school student council, frustrated with smoking in the girls' washroom, recently asked the administration for an automatic five-day suspension for the apprehended students, rather than the original parent conference on the first offense. If students feel pride in their school and are given some accountability for what happens in the school, they can be great deterrents of vandalism.

Orientation of Incoming Freshmen

Large-group meetings and counselor meetings with incoming freshmen can play a part in controlling vandalism. This permits school officials to inform students of behavior expectations. Strong but fair discipline procedures will eliminate much vandalism.

Student Handbooks

Student handbooks that include a section on student responsibilities and expectations are an effective means of combatting vandalism. Explicit information about the consequences of each offense is helpful. In cases where parents are in disagreement with the school's response to acts of vandalism, such details in the student handbook may prove useful in litigation.

Securing Equipment

School districts should take precautions by storing and securing valuable equipment. Materials left in the open, such as microscopes, audiovisual equipment, etc., are open invitations for vandals and thieves. Adequate storage space with secure locks should be available in each classroom where such materials need to be stored.

Cooperation of Police

Local police can be beneficial in curbing external vandalism. For example, the three Rich Township high schools, which serve six different communities, have coordinated campus security with the police departments of the villages in which the schools are located. The school district pays the Village of Richton Park to patrol South Campus parking lot from 7:15 a.m. to 8:45 a.m.; 10:45 a.m. to noon; and 2:25 p.m. to 3:30 p.m.; plus Friday, Saturday, and Sunday evenings. At the Central Campus, off-duty police officers employed by the school district as security personnel are assigned to observe the entrances to the campus during the evening hours. At the East Campus, local police periodically drive through the campus parking lot. Each of the campuses has a different need for supervision, given the location of the buildings.

Outside School Lighting

Total darkness has a psychological effect on anyone coming into an area. Total lighting has a tendency to unnerve a vandal. On the west coast, total blackness has been successfully used in deterring vandals. Anyone coming into an area intent on damage must bring his own light; he thus becomes much more conspicuous than one who enters an area that is brightly lighted. If lighting is used, a system of powerful lighting is

more effective than sparingly placed, moderate lighting.

Punishment for Vandalism

When vandals are apprehended, it is important that they be held accountable for their actions. Cooperation with village officials, parent responsibility ordinances, suspensions, and expulsions all provide successful ways of working with vandals. Positive approaches are repayment for damage; repair of damage; and substituting constructive acts for destructive acts.

Financial (Budget)

Schools must recognize that some vandalism will occur regardless of how effective the security system is. Money should be provided in the budget for immediate and complete restoration of vandalized property to prevent its extension. This budgeting can be done on a departmental, division, building, and district basis. Creative uses of this money might be tried. For example, money budgeted for vandalism repair and replacement which is not used may be diverted for various other equipment needs.

Once the causes have been reviewed, cooperation enlisted, and the plan approved, it becomes important that all people involved with the school—students, teachers, custodial and cafeteria staffs, and administration are familiar with the plan in detail and that it is implemented without exception. Review through inservice workshops should be an ongoing process.

Parents should also be aware of the implications of vandalism by their youngsters, particularly if the plan incorporates a provision for parent restitution. The punishment should be administered consistently and without hesitation.

Conclusion

Excessive vandalism destroys the morale of students, teachers, and other school employees. It is the result of several possible factors, but it can be combatted through a planned, positive program. The program must include supervision by staff and constructive punishment for those involved in acts of vandalism, but the central effort should be the development of student and staff pride in the school through extensive student involvement.

Efforts and money have to be expended. A clean, bright school, and students and staff who are happy and proud to have visitors in the school, are well worth these efforts.

A Bulletin *Special*

State Fiscal Conditions and Local School Financing

By E. Kathleen Adams

Today's economic problems unquestionably have altered the fiscal position of the majority of states. States have been caught off guard by a deepening economic downturn and tax structures altered to slow the growth of the state and local sector.

Before 1976, the growth of state and local expenditures was considerably higher than that of the overall economy; but by the late seventies, states began to slow their rate of spending and by the eighties, they made significant cutbacks in education expenditures.

Precarious Situation

The fiscal condition of the states today is precarious for several reasons. Between 1977 and 1982, the states undertook actions to reduce taxes; 16 states reduced sales taxes, and 22 lowered their personal income tax rates. By 1981, 9 states had indexed their personal income tax, which was particularly effective in reducing tax burdens and revenues.

In addition, the current administration has and will continue to curtail federal aid, has reduced revenues for individual and corporate income taxes, and implemented policies that are concurrent with the worst recession in 40 years.

As a consequence of these factors, only 12 states finished their 1982 fiscal year with a fund balance of more than 5 percent,[1] traditionally viewed as a minimum balance needed to

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1. The survey was conducted jointly by the National Conference of State Legislatures and the Urban Institute. A portion of these results will be included in *The Reagan Experiment*, edited by John L. Palmer and Isabelle Sawhill (forthcoming).

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protect a state against unanticipated fluctuations in revenues. The remainder of states were below this minimum and 6 states actually ended their 1982 fiscal year with deficits. For those that balanced their budgets, many did so by delaying expenditures into future fiscal years and relying on accelerated revenue flows to cover them.

This weakened fiscal status will have an impact on most state-level services, and particularly on local public education. Since the states must coordinate between the federal and local governments, their fiscal condition will also affect plans of the administration to alter the respective roles of government in financing services such as health care or welfare. The part each government has played historically will inevitably change in response to current and expected economic conditions.

One purpose of this article is to review the recent history on the states' role in financing local education and discuss its likely future. Some states will be capable of maintaining the stronger role they accepted in the seventies while those with severely curtailed budgets will face difficult choices.

Another purpose is to describe potential approaches for management used in periods of slow revenue growth. Particular insight for schools and their administrators can be gained from the California and Massachusetts experiences.

Finally, the current experience of states and schools will be discussed in light of desirable long-run policies.

States and Schools—The Seventies

By the end of the past decade, the states financed a significantly larger share of total revenues for local public schools than they did at its beginning. In the 1970-71 school year, states provided an average of 39.4 percent of total revenues for schools. By 1979-80, this share had risen to 48.9 percent. This was partially due to major court decisions throughout many states that declared state systems for financing schools unconstitutional.[2]

From the first major decision in California, *Serrano vs. Priest*, to some of the more recent decisions, such as New York's Levittown decision, the financial issues have become more complex. The states were initially required to reduce strong relation-

2. For a full listing of the states see *A Changing Federalism: The Condition of the States*, Report No. F82-1, Education Finance Center, Education Commission of the States, April 1982.

ships between per pupil spending and school district property wealth. As the courts proceeded, however, states were required to identify bonafide differences in cost among different pupil populations, to equalize the real purchasing power of school district revenues, and to examine the particular problems of urban schools.

This decade was also a time of significant stimulus from the federal government in the form of regulations and categorical grants. Federal aid to K-12 education grew at an average annual rate of 11.2 percent in the six years prior to 1981-82 school year. What distinguishes education finance from other local services, however, is a concomitantly high growth in state aid during these years, an average of 11.2 percent for all states.

From 1970 to 1977, a total of 25 states enacted reforms of their elementary and secondary education finance structures.[3] They also increased the total dollar amount of aid distributed. The structure of this increased aid reflected, of course, the concerns of the courts' decisions. Several types of equalization formulas were used by states to reduce the disparities in expenditures cited by the courts. In addition, states implemented programs to aid special student populations, compensatory education, and bilingual education. They used density factors to address the issue of higher costs in urban schools and some considered cost-of-education indices to adjust for differences in purchasing power.

This growth in state aid had important effects. The first was an improvement in the equality of expenditure levels among school districts and among needy pupils within those districts. Another clear effect was the provision of property tax relief, since some state funds are used to partially displace local tax revenues. The growth in property tax revenue for schools amounted to only 5.7 percent over the same six-year period that federal and state aid grew so rapidly.

These trends may very well be reversed if the beginning of the eighties portends the future for state fiscal conditions. If states are unable to distribute sufficient funds to local districts one alternative is for local revenues to rise again. This could mean a diminution of the gains in equity attained by school finance reform and a stop to the downward trend in the growth of property tax burdens.

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3. A series of booklets, entitled *School Finance Reform in the States*, Reports No. F76-7 through F81-1, published by the Education Center, Education Commission of the States, have monitored these developments.

Current Actions of States—A Comparison

Although virtually all states are experiencing unusually severe budgetary problems, some have greater capacity to handle such problems than others. Several factors can be used to gauge this capacity. One factor is the expected growth in the personal income of residents. Clearly, the next 10 years will see comparatively greater growth in the income of residents in southern and western states. The states' potential taxing power[4] and their year-end budget position are two other factors that can be included in this measuring of fiscal capacity.

When these indicators are combined, the relative fiscal capacity of states can be ranked as high, medium, or low.[5] States in the high category, according to this measure, tend to have abundant oil, gas, or other natural resources (e.g., Tex., La., Okla., Mont., and Colo.). Those with certain peculiarities to their economies, such as tourism or valuable agricultural land, also rank high (Fla., Kans., and Nev.) in their fiscal capacity.

One pattern that clearly emerges is generally poor fiscal condition for many northeastern states. These states tend to have low taxing power and lower than average rates of expected growth. On the other hand, western and southwestern states are in relatively better shape. Obviously, those with greater fiscal capacity will be better able to maintain the desired level of total public services. There will still be difficult decisions regarding the relative priorities to give to education and other services, such as health.

While these relative standings of the states still hold, it is apparent that the current recession has altered the fiscal status of virtually all states. States that are major oil producers based their budgets on an assumption of growth in revenue that has not been realized. The survey cited earlier indicates that at least 26 states made cutbacks in budgets for fiscal years 1982 and 1983 after the budgets were already proposed or enacted.

Many states developing 1983 budgets raised taxes while implementing broad budget reductions to avoid predicted defi-

4. A measure of a state's taxing power has been developed by the Advisory Commission on Intergovernmental Relations. This index is often included in their annual report, *Significant Features of Fiscal Federalism*. They first derive estimates of the tax yield from a state's tax base as if the state used average tax rates from a representative tax structure. An index is then created for each state, relative to the average dollar yield.

5. For a full listing of this measure by state see, *A Changing Federalism: The Condition of the States*, by E. Kathleen Adams, Report No. F82-1, Education Finance Center, Education Commission of the States, Denver, Colo., April 1982.

cits. Some states, including Michigan, Minnesota, Ohio, and Oregon, raised income taxes while a few others raised sales taxes. One-half of the 44 states with corporation income taxes broke off from the federal system, or raised their own rates in order to avoid revenue losses.

It is tempting to say that those states with better revenues are also the states intent on maintaining education expenditures. Some states in the worst fiscal condition, however, such as Washington, will avoid cutbacks in education funding because of a strong legislative commitment and a recent court decision. While other portions of the budget were cut by 5 percent, K-12 education was exempted for the 1983 fiscal year and was only cut 0.5 percent. Other states, including Missouri, Nebraska, Ohio, and Pennsylvania, singled out education or aid to local governments when budget cuts were made for fiscal 1983. These were cut less than other budget items.

On the other hand, oil-rich states are likely to increase education budgets significantly. In Oklahoma the budget will increase about 24 percent in 1983. Other states, such as Florida, have raised tax rates and plan to use additional revenues for financing public schools.

These state-level actions in conjunction with reductions in federal aid, leave the majority of school districts with slowed revenue growth. This is especially true if revenue measures are adjusted for inflation. The only outlet for such fiscal pressure at present, is at the local level. Statistics on changes in local school tax revenues are not yet available, but there is a high probability that local districts have or will begin to raise local property taxes for schools. This will have implications in the long run as citizens evaluate the implied trade-off between reductions in federal income taxes and increases in state or local tax burdens.

Implications—Lessons from Two States

In some ways, the tax-cutting initiative appears to have started with Proposition 13 in California. As many as 27 other states faced similar tax or spending limitation proposals after Prop 13's passage in 1978. It was in the period following this that the states undertook conscientious efforts to reduce the growth in state expenditures. It is informative to view the impact that restricted growth in revenue had for these schools and their administrators. While the cause of slowed revenue growth may be different for the eighties, administrative adjustments will be imperative.

Initially, Proposition 13 did not impose *significant* constraints on local school districts, because of a major state surplus. There was a reduction in adult education, summer classes, and extracurricular activities, including sports. The impact was modified, as noted, by significant state bailouts. The longer-run impact on local budgets is probably now being felt as the California state budget is effectively constrained.

Indeed, the lesson from Proposition 13 appears to be that an undesirable set of taxes was being used to finance schools. Due to extremely accurate assessments, rising property values, and no rollbacks in property tax rates, the property tax burden had become increasingly onerous for California residents. Surveys subsequent to the vote, indicated residents did not desire actual reductions in most public services, with the exception of welfare. Indeed, they wanted to see increased expenditures on public schools. The vote may actually have been an effort to shift the relative burden of taxation from property taxes to other taxes at the state level.

The Massachusetts schools have experienced more immediate financial stress from Proposition 2½ than the California schools. In addition, the response on the part of school district and school administrators has been monitored by university staff.[6] Results suggest that these personnel have had to set clear priorities and search for cost saving methods of administration.

Two clear patterns emerge for the Massachusetts school districts that report to the monitoring project:

- The first is that districts are trading off administrative for teaching personnel either through a reduction in administrative staff or a return of administrators to the classroom.
- A second pattern is the reduction in extracurricular activity unless that activity can support itself with user fees. The trend in curriculum is toward "no frills." Innovative programs, enrichment studies, and athletic programs are the most vulnerable.

At the secondary level specifically, efforts have been made to retain some aspects of elective programs by incorporating components of them into mandatory programs. Larger class sizes were an inevitable result of this process. When wholesale cuts were made at the secondary level it was most often in guidance counseling, instructional materials, non-mandatory learning disabilities, and psychological assistance programs.

6. A collaborative university effort has been made to monitor the impact of 2½ on school districts and other local governments. A newsletter, *Impact 2½* is published by the Massachusetts Institute of Technology, Department of Urban Studies and Planning.

Other measures used to save costs included joint purchasing of supplies on a communitywide basis and the regionalization of some services. One short-run means for containing costs was the postponement of capital outlay and maintenance. Other districts have made use of empty space by renting to private concerns. Finally, some districts have closed schools in order to free up funds.

While the short-run solutions are necessary and perhaps efficient, measures such as postponing maintenance are not necessarily efficient in the long run. These policies will most likely result in increased capital costs for future budgets. The short-run solutions now being used by the federal and state governments may also not be desirable long-run policies.

The current cutbacks by these governments will force reductions in education services and outputs that may not be conducive to greater economic prosperity over a longer time period. Furthermore, if property taxes for schools begin to rise this could lead the state and local systems of school finance closer to its position of the early seventies.

Future Policies—State and Local

The states are quite clearly entering a time period in which they will not be as able to implement desired goals in local school finance. Yet, even if the growth in state revenues to schools is reduced, certain principles can be used to guide the distribution of these limited funds. School administrators can provide valuable input into such policy decisions. As a group they are more aware of the impacts on actual programs, personnel, and student outcomes. They will also be aware of instances in which increases in local property tax burdens or other fees cause concern among school district residents.

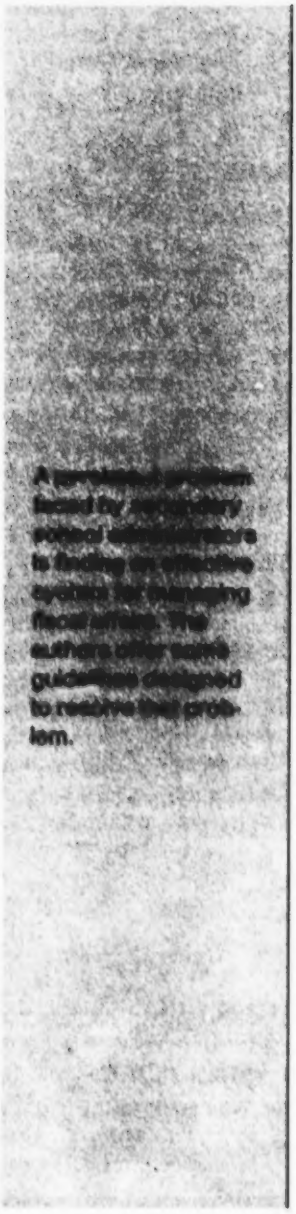
As state level policies unfold, it will be critical for state and local policymakers to keep in mind the inequality of need among pupils and districts. Much of the reform of the seventies dealt with equalizing revenues among property poor and rich school districts. It also attempted to provide the appropriate differentials among students from poor families, different cultural backgrounds, and with other special educational needs. Given the political sensitivity of such issues, many states accomplished this by "leveling up." That is, revenues to all districts were increased, but those with greater needs experienced greater increases.

If and when revenues are reduced, these differences in need should be safeguarded. Most state school aid formulas contain equalization features that will automatically work to maintain this improved equity. Yet, critical conditions may develop for certain student groups or districts such as schools located in large urban areas. These schools face increasing cost problems and are hardest hit by reductions in federal aid. Many urban areas are also suffering more unemployment and increased welfare rolls. These tend to exert further fiscal stresses on their means of financing.

Another longer-run issue that policymakers should keep in mind is an appropriate balance of state and local taxes. As a sideline to the reform in school finance, states were also improving the equity and responsiveness of their state and local tax structures.[7] By reducing their relative reliance on property taxes and increasing state level income taxes during the seventies, the states improved the equity of tax burdens and created systems that were more responsive to economic conditions.

The danger posed by the cutbacks now being made by state and federal policies, is the potential for increased growth in property tax burdens. Not only will this erode equity of household tax burdens, but it also has the potential to decrease the equity among school districts. Indeed, this was the initial reason for the court battles in the early seventies. While this increase in property taxes is not yet a clear pattern, policymakers should be aware of its potential. Otherwise the fiscal conditions of the eighties could unravel the extensive progress made during the seventies.

7. For a comprehensive study of this issue, see *Who Pays State and Local Taxes?*, by Donald Phares (Cambridge, Mass.: Oelgeschlager, Gunn and Hain, Publishers, 1980).



Managing School Fiscal Affairs: Ten Guidelines

Kenneth M. Matthews
Thomas S. Upchurch

MANAGING FISCAL AFFAIRS is only one of the many responsibilities of principals, but it is one that cannot be slighted. In many secondary schools, the total amount of money flowing through internal accounts runs into the hundreds of thousands of dollars. With that amount of money involved, principals are extremely vulnerable unless they have established a system for effectively managing fiscal affairs.

Effective fiscal management procedures are commonly directed toward three goals. The first and primary goal is to protect people. In order to protect school employees, the system should provide evidence to support their innocence when falsely accused. To protect students and other contributors, management procedures should provide documentation that expenditures are made for intended purposes.

Second, fiscal management procedures should also provide an accurate picture of internal financial affairs. This means records should be maintained to note each and every change in the net worth of each and every accounting entity or fund. Since net worth is defined as assets minus liabilities,

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procedures should be established whereby liabilities, as well as assets, are recorded.

The third and final goal of an effective fiscal management system is to provide information to management. The information desired by individuals may differ, but some types of information are essential to all principals. Foremost among these are data ensuring that people are protected and that an accurate financial picture is maintained. In addition, the system should provide the principal with those bits of information he needs to make decisions on fiscal affairs.

To free principals to meet other responsibilities, fiscal management systems should also be efficient. The primary sources of inefficiency in administering fiscal affairs are generally problems which are recurring in nature. The key to efficiency is to eliminate recurring problems or to routinize procedures for dealing with them. Many problems can be eliminated by a well-designed system. Others can be routinized by consistently following a set of predetermined operational procedures. Because of the basic nature of all systems, a malfunction in one part of the fiscal management system will affect other components of the system. Therefore, if the fiscal management system is to function efficiently, deviations from an established set of operational procedures should be minimized.

The guidelines which follow are considered to be a comprehensive and concise set of operational procedures contributing to an effective and efficient fiscal management system. They are designed to protect people, provide an accurate picture of financial affairs, and provide a management information system. In addition, the guidelines offer suggestions for minimizing the more common dysfunctions of current practices.

Suggested Guidelines

1. *Issue receipts with each transfer of cash.*

This practice serves to protect people in two ways. First, the individual who relinquishes the cash is also relieved of responsibility for the cash through the receipt. Once in possession of a receipt noting transfers, individuals have a basis for building a defense against false accusations. Issuing receipts also serves to protect contributors by locating responsibility for cash with specific individuals at given points in time. Unless responsibility is established, protection against loss, theft, or misappropriation will be

2. *Require a duly authorized purchase order before payment of any bill.*[1]

Issuing purchase orders prior to incurring obligations is essential if control over expenditures is to be maintained. Preparing the purchase order

1. Initiating this procedure may require prior notice to vendors and extensive work with personnel in those situations where purchases have traditionally been made without written orders.

is the first official act in purchasing. Until a properly authorized purchase order is issued, a vendor has no formal offer to buy and the school has incurred no liability. Once the vendor has received a purchase order, he can deliver the goods or services and rightfully expect payment. Because net worth cannot be computed without knowing the value of outstanding obligations, written purchase orders also provide critical data for projecting an accurate picture of internal financial affairs.

3. Authorize purchases only by the signature of the principal or his designated agent.

Since the principal is personally accountable for the administration of fiscal affairs control is his responsibility. In this sense, control means ensuring that cash is available to pay for liabilities incurred through purchase orders and that expenditures are for intended purposes. Unless this responsibility can be delegated to trained personnel all purchase orders should be signed by the principal. Centralizing the authorization of purchases also facilitates the development of a comprehensive information management system.

4. Maintain an encumbrance accounting system.

An essential element of any effective fiscal management system is the capacity to determine the net worth of each fund. This means being able to determine the cash balance minus the value of outstanding purchase orders (encumbrances) for each fund. A cash accounting system alone will not provide this information because only cash assets are reflected in the recorded balances. Unless net worth can be determined, contributors have little protection against incurring more liabilities than their assets will cover.

5. Issue purchase orders only when the unencumbered cash balance is sufficient to pay for goods or services ordered.

When goods or services, properly authorized through written purchase orders, have been accepted by school employees, the school has incurred a legal obligation. The practice of postponing payment of bills until sufficient cash becomes available is fiscally unsound. The costs to vendors associated with delayed payments from schools are generally passed on to their customers. Although the added costs may be absorbed by all customers rather than just the guilty, those who do not pay bills when due ultimately pay more than is necessary.

6. Pay bills only upon verification of receipt of goods or services.

In most situations, payments by school officials for goods or services which have not been received are illegal. Even if not illegal, payment before receipt is an unsound business practice because protection is not

provided against those few vendors who may use unethical business practices. In financial disputes between schools and vendors, the party holding the money has a distinct advantage. Given the situation where a vendor has both the goods or services and the money, the school is in a very unfavorable position. Requiring verification of receipt before payment of bills provides protection against being in double jeopardy—having neither the money nor the goods.

7. Make all payments by check.

When payments are made by check instead of cash, better protection is provided and accounting procedures are simplified. Although cash is a commonly accepted medium for school receipts, it is not an acceptable form of disbursement. Cash is particularly susceptible to loss, theft, and misappropriation. By eliminating payments in cash, vulnerability is reduced.

In some cases, payments in cash are preferred or even demanded by those who supply goods or services to schools. However, yielding to those pressures places school employees in unnecessary jeopardy. In general, it is preferable to change vendors rather than place school personnel in a position where they must make payments in cash. Few businesses require cash payments of all their customers, and there is no good reason why schools should be treated differently from other large customers in this respect.

Maintaining an accurate record of financial transactions is difficult when cash purchases are made. First, cancelled checks serve as receipts, whereas receipts for cash purchases must be supplied by the vendors—often in an unacceptable form. Second, receipts for cash purchases are received sporadically, while cancelled checks arrive at regular intervals. Events which occur at regular intervals can be planned into work schedules while erratic events are disruptive.

8. Place special conditions on all purchase orders.

The objective of purchasing is to obtain desired goods or services within an acceptable time and at an acceptable price. When these conditions are not met, the fiscal management system becomes ineffective. By placing special stipulations on all purchase orders, principals can reduce some of the more common undesirable aspects of purchasing.

When a purchase order is issued, an offer has been made to a vendor. However, this offer can be withdrawn if the vendor does not meet the conditions specified on the order. Because vendors are frequently unable to make immediate delivery of all goods ordered, a time limit for delivery should be specified on all purchase orders. A common method of ensuring timely delivery is to print on the face of the purchase order: "Goods not

received within 90 days are subject to rejection." This provides the option of accepting or rejecting orders delivered after the specified time.

Another common problem encountered by principals is that of placing orders at one price and being billed at a higher price. Since all businesses occasionally change their prices, principals can avoid this inconvenience by listing the quoted price and instructing vendors on procedures to be followed in the event of price changes. In some cases, specifying a maximum dollar value on the purchase order is desirable. Other times it is advisable to instruct vendors to cancel the order if the goods cannot be delivered at the quoted prices.

9. *Maintain the integrity of all funds.*

Funds are accounting entities established for the purpose of recording financial transactions of special groups or money generated for specific purposes. As accounting entities the integrity of funds must be maintained or the reasons for establishing the funds will be subverted. The practice of making transfers between funds is inconsistent with the goal of protecting people. When funds are co-mingled, contributors to the deficient fund are temporarily denied the use of their money while others may have benefited from the use of the money.

Investing temporary surplus cash in insured savings accounts or certificates of deposit is a sound business practice followed by many principals. However, the principle of fund integrity should be followed even in investments. If investments are made from co-mingled funds, then the fund integrity principle dictates that contributors to each fund share in the interest earned. This sharing can be accomplished by pro-rating interest to the various funds or by using a representative committee to decide how the money should be spent for the benefit of all concerned.[2]

10. *Maintain perpetual inventory controls.*

Fiscal management is generally considered to be restricted to the management of money, but procedures for managing physical assets are also an integral part of any comprehensive fiscal management system. In secondary schools, money is temporal in nature because it is the medium of exchange used to purchase services or physical assets. Often, physical assets are in turn converted to cash. Because of the relationship between money and physical assets, procedures for managing physical assets are essential aspects of fiscal management. These procedures should include

2. Principals should exercise caution in this area and make certain local policies and laws are obeyed.

control over all physical assets, whether in the form of consumable materials or durable objects.

In order to control physical assets and to provide protection for people, responsibility should be assigned to specific individuals at each point in time. Each transfer of physical assets should be accompanied by a recording of who has been relieved of responsibility and who has assumed responsibility. In addition to fixing responsibility, this procedure has the additional advantage of providing a basis for perpetual inventory control.

By maintaining a perpetual inventory record, assets can be calculated by subtracting distributed merchandise from the original stock. This process can reduce considerably the frequency of making an actual count of physical assets. Perpetual inventory records are particularly advantageous when the stock of merchandise is periodically replenished, as with consumable teaching materials where stock is continuously being distributed and reordered.

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6. The Role of the Principal in Student Personnel Services

While the challenges of the principalship are many and varied, there is no greater responsibility in the educational setting than the health, safety, and general welfare of the students. Grouped under the general heading of student personnel services are numerous pupil-related functions for which the principal is ultimately held accountable. These include discipline, attendance, guidance and counseling, testing and placement, servicing the handicapped, and health services, to name but a few.

In this section various authors discuss plans and strategies for implementing, evaluating, and maximizing the value of student personnel matters. The articles emphasize the importance of a good student personnel management system. Unless students are properly placed in a class, attentive, healthy, and generally happy with their environment, the school is not attaining optimum productivity from its instructional program.

Robert Byrne addresses the age-old issue of getting students to school and then keeping them there. How can a school elicit cooperation from parents, students, and school staff to improve pupil attendance? Byrne explains what was done in his school setting to re-establish joint accountability for student attendance. The article concludes by providing principals with a good overview of how to establish and implement a workable attendance policy.

Graham and Hawkins remind principals of the importance of student advisement. They offer suggestions for assessing the health of a school's advisement program, and describe four basic beliefs upon which good advisement is built. The authors urge principals to use advisement to meet the unique needs of their students and to optimize curricular reform, increase freedom of choice, instill ownership, and positively shape the school experience.

How can a principal maximize positive pupil behavior and minimize class disruptions and other incidents? Vern Jones suggests that a schoolwide discipline program is the answer. He identifies components that should be provided in a

schoolwide discipline system and includes a checklist for evaluating a school discipline program.

In recent years principals have had to deal with increasingly diverse student needs and problems. One student group in particular, the handicapped, has required special attention on the part of building administrators. As Marsh and Podemski point out, one important responsibility of the principal is to oversee the procedures for assessing handicaps. The authors offer an overview of tests used to diagnose handicaps so that principals can better monitor the special education assessment programs in their schools. Marsh and Podemski conclude by offering specific suggestions for principals to ensure proper assessment procedures for the handicapped.

In the final article in the section, Adamson reminds principals that handicapped students require special consideration in the area of discipline. Based on recent court cases, the author offers several points to consider in disciplining handicapped students. Adamson concludes by stating that discipline issues relating to the handicapped are still being tested legally. The implication is that principals must remain constantly aware of changing actions and rulings if they are to handle discipline of handicapped students correctly.

Capturing the Elusive Student: Putting Accountability Theory into Attendance Practice

Robert Byrne

In the long range, the solution to the problem of motivating youth to attend school will depend on instructional programs that maintain standards and a level of challenge that invite—and require—their full participation.

Of all the problems that confront educators, the most elusive is student motivation. Each of us can accept that there are differences in student potential, in the skills that teenage students acquire, and in the background knowledge that they bring to the high school classroom. However, what always perplexes and frustrates the high school educator is that ever-growing minority of students who have little motivation to attend school and even less motivation to learn once they get there.

What Is the Key?

Most educators have experienced the full swing of the pendulum regarding educational strategies designed to improve student attendance. At one end of the spectrum is the "iceberg" concept, the belief that student reluctance to attend school is ultimately the responsibility of a school environment which impedes self-expression and openness. Consequently, absenteeism is only a ramification of larger, deeper problems. At the other end is the more rigid reliance upon the law, which is

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intolerant of individual whims and demanding of compliance with regulations that include consistent attendance. However, neither of these strategies, taken exclusively and on its own merits, holds the key to successful motivation for students to attend school and confront its challenges on a consistent basis.

The Cinnaminson (N.J.) School District in 1977 was faced with what it considered an alarming pattern of student apathy and poor attendance at the high school level. This moderately affluent, "high average" socioeconomic community witnessed a growing malaise and an increasing propensity among its youngsters simply to not bother with the routine that brings them from home to homeroom in the early morning hours. Though not a crisis, the attendance problem was a trend, and one which was sure to worsen in the absence of positive, corrective action.

Given this problem, the high school administrators and staff members conducted a rigorous review of the situation, generated ideas and alternatives, and finally went on to prove that nothing is so practical as a good theory.

The Attendance Policy: Description and Rationale

The rationale for the attendance policy came from faculty members and the high school administrators. It was both expected and timely. A committee was established for the summer of 1977 and the "attendance policy" was approved by the board of education for the following school year. The faculty committee's analysis was that by virtue of time, neglect, and mere lack of attention, the entire framework of responsibility for attendance had shifted unwittingly from the pupil and parents to the institution. No longer was it a responsibility for students to attend school; rather it was the school system's obligation to utilize the bureaucratic pressures at its disposal to persuade and cajole youngsters to comply with legal requirements that were enacted in their best interests.

It was admitted that no array of traditional administrative procedures including parent notes, discipline, or even dragnets in the community could ever effectively intercede between the determined truant and his responsibility to be in school.

Consequently, the key recommendation of the committee was to discard these futile procedures and replace them with a system of firm limits regarding student absences for each class. Students were given a limit of 12 absences for each full-year course, six for a semester course, and three for a quarter course. Once these limits were exceeded, students would be placed in "non-credit" status, a kind of limbo condition which, if not rectified, could result in the student's passing a course without receiving credit toward graduation.

The limits concept was supported by a system of written appeals for credit for those who surpassed the prescribed number of absences for legitimate reasons. Absences were recorded and reported by teachers

while the administration tallied the totals, issued written warnings, and acted as arbiter for claims of legitimacy at the appeals stage.

While the new program placed a high level of accountability squarely upon students and parents, there was clearly considerable freedom of action prior to the stages where limits were met or exceeded. The test of the policy would come the following school year and its effectiveness would rest upon the maturity of students to recognize their responsibilities to improve their daily attendance.

Implementing the Policy

Not many days passed in September 1977 before it was clear that this would be the "Year of the Attendance Policy." Objections from students were both individual and collective. Parents, initially supportive, questioned the policy when it was applied to their own children. The situation was further complicated by notoriety from local newspapers and interference from various community interest groups. Even the faculty, always the vanguard of stern attendance procedures, quickly became disillusioned with the clerical requirements of the policy. In the meantime, the administration, immersed in an avalanche of appeal requests and warning letters, was nearly immobilized by its own red tape.

Toward the close of the school year, the results of the policy were all too vivid. Attendance had improved considerably; average daily attendance was between 94 and 95 percent. However, offsetting this gain was an increase in cutting and, more importantly, a distrustful relationship between students and administrators. The attendance policy had accomplished best what the school system needed least: the incarceration of the unwilling learner.

The Policy Revised

There comes a point in educational administration when decision models based on facts alone must give way to commitment rendered compelling by insight and intuition. Thus, after a year's experience with the attendance policy, the administration had two courses of action it could follow. One was to abandon the policy, thereby creating quick but short-lived euphoria as well as a return to the sad circumstances which created its need a year earlier. The second was to persevere in the examination of the policy, revise it as necessary, and continue to make attendance a priority in the school district.

In accepting the latter alternative, the administration took decisive measures to address the legitimate objections posed by students, faculty, and community. First, the policy was bolstered by a rigid procedure to supervise and discipline the increased level of student cutting. Second, steps were taken to reduce paperwork and clerical chores for the teaching and secretarial staff. And finally, the no credit provision was modified to apply only in cases where absence was illegitimate or occurred without the parent's knowledge and consent.

In introducing the revised policy the attendance committee stressed the importance of the program as a unified effort among all interested parties in the school system. Teachers were reminded that this was a policy undertaken at their request. Parents were advised of the importance of the attendance policy in terms of strengthening discipline and the school environment. The students were told the exact purpose of the program, the reasons for its enactment, and the limits and stages at which administrative inquiry would be made.

The revised policy was implemented in September 1978, with full support of the district's educational community. The results in terms of improved attendance were almost the same as the previous year. But more important, the attitude toward the program had changed substantially in a positive direction. Student cutting was reduced dramatically.

Parents, initially suspicious because of previous experience, became more confident in the administration and the program it had worked so hard to implement. Indeed, in the opinion of the majority of teachers, the policy had improved not only attendance at school, but the environment.

For the faculty committee, it was a very gratifying year. Their experience with a controversial program had achieved success largely because of their own determination. They had at last accomplished what eluded them for so many months—they had turned the corner on high school attendance.

Analysis and Assessment

After a two-year period of experimentation, the school system's attendance policy is an accepted fact of life among students and staff. The improvement in both school and class attendance is significant by any statistical standard. The more important accomplishment is that the program is interwoven into the daily fabric of school life—it is rarely contested, indeed it is rarely discussed.

Since positive change is seldom happenstance, it is instructive now to review the factors that contributed to the program's success.

First, the high school faculty demonstrated fortitude in confronting a problem which many others had failed to solve. They accomplished this by making school and class attendance a priority and by placing the responsibility where it rightfully belonged—with the students themselves. The theoretical basis of the program proved to be sound and workable.

Second, teachers soon discovered that the attendance policy had implications for instruction as well. If students were required to attend school, then what they learned at school had better be meaningful in terms of successful completion of course requirements. The early experience with the program resulted in an embarrassing eye opener when students in considerable numbers were placed on non-credit status for excessive absence in courses where they received not only passing but very satisfactory grades.

The message that instructional standards should at least match attendance standards came across very effectively. Individual teacher standards increased, thereby reinforcing the necessity for students to be in class to gain the information needed to pass their courses, be promoted, and ultimately to graduate.

Third, attendance, like any aspect of a pupil management program, depends upon personal interaction among administrators, parents, and students. The initial implementation of the policy in effect diminished the administrator's role to that of bureaucrat. Students soon learned that when you heard from administrators it was always bad news. The revised policy called for personal conferences for both students and parents. These provided the opportunity for early correction of a poor attendance pattern and underscored the good faith with which the objectives of the program were being sought.

A fourth very important factor was the change in the non-credit concept between the original policy and the revision. Prior to the revision, the policy was entirely indiscriminate in totalling absences toward the much-feared limit wherein credit was withdrawn. Thus, many students absent for good reason were suddenly in the throes of credit appeals and the disciplinary machinery of the school. For these so-called "good citizens" of the school who had never known an encounter with a vice principal the experience was traumatic and the effect was one of frustration and alienation.

The revised "inquiry" which replaced non-credit for legitimate absences took the edge off the policy and won some allies among the serious minded and mature element of the student body. In their eyes, the focus of the policy had rightfully been placed where it always belonged—upon those who would abuse it.

Conclusion

In the final analysis, the problem of attendance will not be solved until all levels of the system affirm its importance and express resolve to seek and find the solution that works. That long-term solution in the case of attendance is one which permeates the entire educational program and the environment of the school where it is applied. In the long range, the solution will stand so long as instructional programs maintain standards and a level of challenge that at once invites and requires the full participation of the youngsters for whom they were planned and developed.

Advisement Programs: Turning Failure into Success

Why do many advisement programs fail? Lack of leadership, inadequate support, and scanty inservice training are some of the reasons these writers identify.

By Dee Graham and Mary Louise Hawkins

An estimated 2,000 schools have started advisement programs in the last 10 years. For the most part, these programs have had similar goals:

- To establish one-to-one relationships between students and teachers
- To improve school climate
- To deliver to all students services, such as career development, self-assessment, decision making, and program planning, that are not available solely through counseling programs.

To accomplish these goals, teacher advisers assume responsibility for a small number of students whom they see periodically for discussions.

How have such programs fared? An amazing number of them have failed, while others have not reached their potential. In a recent survey, more than 400 school districts and schools which had at some time in the last six years purchased advisement materials from a Title IV-C Missouri-validated project were asked about their programs.

One hundred ninety-two of the 230 respondents indicated that they had begun an advisement program. However, 23 percent of the schools that started a program no longer operate it. Twenty-eight percent reported a very satisfactory program, while 49 percent noted only a moderate degree of satisfaction with their advisement efforts.

Mediocre Report Card

These findings reflect a mediocre report card for advisement. After reviewing more than 75 programs on-site and consulting with more than 250 schools adopting advisement programs,

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we have been able to pinpoint the reasons for success in some districts and to identify some of the causes for failure in many others.

One general indicator of the health of an advisement program is the degree to which students feel they are receiving the type of services they value. The following types of student comments can be heard in a healthy program:

- I have time to see my adviser individually.
- I talk to my adviser as frequently as necessary.
- When I see my adviser we have at least 20 minutes to talk.
- We talk about things of my choosing.
- I feel my adviser enjoys the time we spend together. I judge this by my adviser's enthusiasm, willingness to deal with what concerns me, and nonjudgmental listening.
- My adviser will help me cut red tape sometimes.
- My adviser does not get involved with discipline unless I ask for help.
- I have my own folder that belongs to me.
- I have choices to make in my school program that require an adviser to help me.
- My adviser knows a lot about this school.
- My adviser always follows through.
- My adviser can help me interpret my test scores, keep track of credits, and select learning programs.
- My adviser will help make adjustments for me if I need them.

General disagreement with these statements is a sure indicator that something has gone awry. Should that be the case, quick diagnosis and treatment is needed to avoid terminal illness.

Lack of leadership, inadequate support, or scanty inservice training are usually lurking in the background when a program fails. But pointing a finger at these broad categories is insufficient for adequate diagnosis. Instead, specific program ailments can be identified which, if attended to, can turn pending failure into program success. It is fortunate that the most common ailments are those that are also the most easily identified.

It Has To Be "Right"

The "Right" Purpose—The advisement program involves role changes for teachers, counselors, and principals. That's almost the total staff. When so many people are asked to incorporate a new behavior, the reasons for making the change must be absolutely clear to everyone. Whether the need for the program is strategies to address too many classroom failures, to tackle a particular school problem like drug abuse, to correct curriculum deficiencies, or to improve teacher/student relationships, these local school issues must be assessed and brought before the faculty as a school problem.

Advisement is a program initiative made by the total staff to resolve issues that require special attention. A common error is for a superintendent, principal, or counselor to perceive the need and then to institute the advisement solution from the top down with false confidence that consensus has been reached. Perhaps the staff has agreed only to try the program, without full realization of what the program is to accomplish or the amount of work involved.

Their goodwill effort will only last a short time before they question the payoff. Sometimes the skepticism is so strong that the program is in immediate jeopardy. The school needs must be

clearly articulated so that everyone knows precisely the reasons for instituting an advisement program.

The "Right" Goals—Similar to many other programs, an advisement program requires goals to guide daily activity. Establishing program goals for advisement appears to be a ticklish business. Program goals can be like Goldilock's porridge—too broad, too narrow, or just right. Broad goals do not give sufficient direction for an adviser who must select appropriate activities from the many available. Program planning, career awareness, parent involvement, decision making, and self-assessment is just too much territory to cover if it is expected that all areas are to receive equal attention. Frustration and a sense of futility soon set in when advisers know they can't meet the broad goals.

Lack of leadership, inadequate support, or scanty inservice training are usually lurking in the background when a program fails.

Too limited goals, on the other hand, do not bring the adviser/advisee satisfaction needed to support the program. One midwestern school decided to concentrate solely on registration and its attendant schedule change problems. This focus reflects an activity rather than a program goal. Viewed in such a narrow sense, advisement became an unpleasant additional burden for teachers. In another school, the actual goal of advisement was to highlight student academic deficiencies. Is it any wonder that neither advisers nor advisees relished this engaging topic of conversation?

The "Right" Time—The time provided for advisers and advisees to confer is another potential source for failure. Some schools have extensive goals for the program, but allow only one hour per week for conferences. Others have more time, some as much as one hour a day. One hour a week is probably too little, one hour daily is probably too much. A two-hour block per week has been shown to be viable for most programs.

Also, the nature of the time needs to be matched with the age group. Senior high school students generally do not value the group approach to advisement, thus necessitating individual conferences. Middle school students can operate marginally within a group-oriented program, whereas elementary level students thrive in a group program. A creative look at the school's schedule will produce a suitable time plan for an advisement program.

The "Right" Tasks—As advisement matures, slippage may occur. Advisers may find themselves administering discipline, calling home to verify absences, running intramural basketball contests, or gathering food baskets for the needy. One might justifiably question how these activities relate in any way to the purpose of advisement. Advisers and advisees do need real tasks to work on together, but tasks both perceive as meaningful. A quick assist from an adviser that helps a student decide what to do about his or her social studies class, for example, is perceived as a "real" task, and therefore is valued.

Another area of slippage occurs when the information flow in the school is

impaired. The adviser/advisee relationship requires test scores, course catalogs, career information, and special school services to serve as springboards for discussion.

Another area of slippage will occur should adviser/advisee interactions focus solely on cognitive tasks; or, conversely, only on affective relationships. If an advisement school chooses one emphasis over the other, the result will be a faltering program. A task-dominant program, over a period of time, appears trivial or, worse, as a "busy-work" generator. A relationship-dominant program is difficult to sustain with the needed intensity.

These most common ailments—purpose, goals, time, and tasks—may seem difficult to resolve, but they pale in comparison to another widely prevailing cause for failure. Sometimes, the essential heart of the program has been lost or forgotten.

Four Basic Beliefs

Schools with the "right stuff," as writer Tom Wolfe would describe it, frequently examine the theoretical base that underlies their existence. To ignore it, or worse, to not even know that it exists, is to head for certain failure. The theoretical base for advisement consists of four beliefs that form the foundation of a vital advisement school: curricular reform, freedom of choice, ownership, and the shape of the school experience.

The Right Stuff—The first belief is that curriculum should be matched to student needs. Advisement is used to initiate continuous curriculum reform. In the process, advisers learn a great deal from students about the suitability of the school's offerings. When students' learning needs are not met, they share their concerns with their advisers.

These concerns should then flow through the communication network with the expectation that the issues will be considered and resolved. In schools that do not intend to use student-generated information to change their programs, it is futile for advisers to discuss these concerns at all. Students quickly sense this futility and view "How are things going?" inquiries to be simply social noise.

Certainly the students of the '80s are not like other students, even those as recent as the '70s. Any teacher can describe the difference. Yet the curriculum may not have changed in concert with the changing student population. An example from industry illustrates what happens when needed changes are overdue. When Americans experienced rising gas prices, the small clique of drivers who had always favored small, fuel-efficient foreign vehicles grew to be 25 percent of the car market. The American big auto makers, refusing to acknowledge that their large cars were no longer marketable, continued rolling them off the assembly lines. They chose to ignore the changing attitudes of the

Certainly the students of the '80s are not like other students, even those as recent as the '70s. Any teacher can describe the difference. Yet the curriculum may not have changed in concert with the changing student population.

American consumer in favor of forcing a supply of large cars on a demand that wasn't there, with disastrous results.

Although it is difficult to fully apply this business analogy to schools in all aspects, there are some parallels. The public image of schools is distressingly low. One might hazard a guess that the unfavorable public view is due, in part, to consumers whose school experience for too long may have been characterized as an attempt by educators to force a prescribed service on consumers when the demand lay in another direction.

Have secondary remedial reading programs kept up with the need for those services? Have schools accommodated the student's growing interest in and need for computer literacy? Have we responded quickly enough to the tidal wave of conservatism that is embodied in back to basics philosophies and Reaganomics?

Advisement cannot thrive in an institution whose curriculum remains static when it should be dynamic; whose curriculum assumes today's teenagers are the same as those of yesteryear; whose main characteristic is to protect the status quo rather than to reshape itself to meet changing demands.

Advisement is the pointman in curricular reform, giving the school timely information on problem areas, matching the curriculum to students to achieve a good fit, and offering alternatives when an out-of-the-ordinary path is appropriate. In curricular reform, advisement can guide the school in a more productive direction when students express concerns about the instruction offered. As a catalyst for change, advisement is potent.

The second belief encompasses the idea of freedom of choice for all. Many have concluded that freedom of choice for students means abdication of rules, laissez faire policies, or rule by anarchy. But it does not. Neither should student choice foster chaos, disorder, or self-indulgence. Rather, freedom of choice means creating flexibility within the school environment which provides students ready, equal access to resources; it implies trust and it allows for errors. It means the students are respected members of the educational community.

When schools fail to respond in a humane way, students and staff withdraw into themselves and are denied the chance for growth, the feeling of belonging, and the motivation to contribute.

Students in their teen years surely should be able to use restroom facilities responsibly without passes, ride buses without assigned seats, or borrow more than two books from the library at one time. Many students are mature enough to decide, during at least a small portion of the day, whether to study or to socialize. A school that systematically removes all choice from students undermines the very decision-making skills that education should foster and that advisement programs teach. To arbitrarily establish rules, procedures, or programs precludes any need for the very communication that an advisement program promotes.

The unfortunate alternative to a

school that practices freedom of choice is a sterile school where the virtues of listening and clarifying, a mutual activity, give way to simplistic directing and reacting. When schools fail to respond in a humane way, students and staff withdraw into themselves and are denied the chance for growth, the feeling of belonging, and the motivation to contribute.

But, where there is choice, surely there is error. When error occurs, consequences should follow—but only for the one who erred, not for all. A student who loses 40 library books deserves to have limitations on his library use. But an institution that decrees a two-book limit for all is violating the freedom of choice principle. Decision making, or the process of choosing, is a freedom with every choice having a consequence. But let us not generate rules limiting our learning environments.

Closely related to the idea of freedom of choice is the belief that students should develop a sense of ownership in their school. This sense of ownership, or belonging, helps break down the sometimes warlike struggle that occurs between the school establishment and the student body. "Them versus us" games prevail, and can reach the point at which the very social fabric of the school community is irreparably torn. Not the least of the carnage of such skirmishes is learning. The solution to this problem is for a school to first value itself, then promote a sense of ownership on the part of students.

The development of ownership does not occur by telling students what they can and cannot do; nor does it result when students announce what they will or will not do. Neither does ownership characterize students who are selfish or who infringe on the rights of others. Ownership, as it is developed through the advisement program, centers on students' deeply held belief that:

- They have access to a staff member who serves as an advocate and trusted mentor;
- They know alternative ways of solving problems are available;
- They recognize that their views, needs, decisions, and rights are respected;
- They know they have a good measure of control over what happens to them at school; and
- They understand that the full resources of the school are available equally to all.

At issue is the validity of the widely held notion that "school" should be the same for all. Is it the school's responsibility to ensure that every student value the same thing? Indeed not.

A student's ability to exercise some control over his school experience looms large as a key to ownership. Advisement is the vehicle through which a school carries a definite message. A student can indeed affect what happens to him.

A fourth belief which naturally follows the freedom to choose and the opportunity to exercise ownership centers around the conviction that students have the right to shape their own school experience. At issue is the validity of the

widely held notion that "school" should be the same for all. Is it the school's responsibility to ensure that every student value the same thing? Indeed not.

All parents do not value the same curriculum, and all students do not select the same course offerings. Choice is based on goals, interests, and past achievement. Anatomy, physiology, and biology lure the pre-med student, but others enroll to meet graduation requirements. Some choose the same courses to be with friends, or to work with teachers whose teaching styles match their learning styles. Advisement is the link between what the school offers and what a particular student requires.

School, like any single event in life, is perceived differently by each person. Do our schools nurture the unique perceptions of our students? Do we provide avenues for interests as well as achievement? Is it acceptable to fall short of, or surpass, the norm? Do we expect students to function as clones who simply react in predictable ways as prescribed by the school?

Students, parents, teachers, and administrators would cry out at such questions; yet, we treat students as a collective entity. Assignments are prescribed to a class. Disciplinary actions read like a cookbook. Students are labeled by grade level, and age determines sequence of study.

Close examination of current advisement programs, particularly those programs that are marginally effective, discloses that advisement is used as a new name for old practices, new processes with outworn activities, and new positions without skill development or specific goals. Other schools lack even a program or a process which allows for student feedback, program modification, or school reform. Those schools who rate their advisement program as successful thoroughly understand this theoretical base and maintain strong efforts to use the advisement structure to actively promote it.

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An Administrator's Guide to Developing and Evaluating A Building Discipline Program

Listed here are 12 components administrators should consider when planning for a schoolwide discipline system.

By Vern Jones

Teachers continue to express considerable concern about student misbehavior. Not surprisingly, several recent reports suggest that disruptive student behavior is a major factor contributing to teacher stress and job dissatisfaction.

Feitler and Tokar (1982) reported that 58 percent of their sample of teachers ranked "individual students who continually misbehave" as the number one cause of job-related stress. In a study of 5,000 Chicago teachers, Cichon and Koff (1980) reported that managing disruptive students ranked second to being involuntarily transferred as the major cause of stress.

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Parents echo teachers' concern regarding student behavior. Between 1969 and 1983, 14 of the 15 Gallup Polls reported that Americans view discipline as the most important problem in public schools.

With the increased emphasis on student achievement evident in the '80s, educational leaders must also attend to a large body of research (Brophy, 1979; Evertson, 1980; Good and Grouws, 1979; Stalling, 1980) indicating a strong relationship between student achievement and such variables as teacher involvement in direct instruction, limited time spent on management problems, and student on-task behavior. Schools and classrooms in which students express positive feelings about learning and where student misbehavior is limited are characterized by higher student achievement (Brookover et al., 1978;

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Edmonds, 1979; Evertson and Emmer, 1982; Fisher et al., 1980; Goodlad, 1984; Purkey and Novak, 1984; Rutter et al., 1979).

Concerns about the manner in which school discipline is being handled have also been expressed by minority groups who point to studies indicating that a disproportionate percentage of minority children are suspended and expelled (Osborne, 1977; Bennett and Harris, 1981). Consequently, racially integrated schools have begun to explore reasons for the imbalance in punishments given to minorities.

A number of schools have responded to these concerns about student behavior and school discipline by developing schoolwide procedures for preventing and/or responding to disruptive student behavior. It has been estimated that three out of every four schools have some form of printed disciplinary code. In Portland, Oreg., teachers recently negotiated for and received a statement in their contract requiring each school to develop a buildingwide discipline policy.

The contract states that:

> The principal or professional staff designee with input from teaching staff shall develop a written procedure for handling student discipline. Such procedure must be in conformance with District policies and regulations. . . .
>
> Printed copies of these specific building procedures shall be distributed to parents and staff members by October 16 of each year. The building discipline procedure shall be reviewed by the staff by June 1 of each year as input and will subsequently either be reaffirmed or adjusted by the principal.

While some schoolwide programs have been based upon extensive data collection and dialog, many more have been hastily conceived stopgap methods for responding to a situational crisis or administrative mandate. The development of a schoolwide management program raises expectations and increases the visibility of student management issues. Therefore, the implementation of a poorly conceived program tends to have a detrimental effect not only on student behavior, but also on teacher morale and community support for the schools.

The implementation of a schoolwide discipline procedure can, however, be a thoughtful, productive response to student behavior problems. A well-conceptualized, sensitively implemented program can reduce disruptive behavior and improve student achievement. This article provides administrators and supervisors with a description of 12 major components that should be included in planning and implementing an effective schoolwide discipline system.

In order to clarify the role various components play in program development, the components are grouped into three categories: philosophical, organizational, and operational. The description of each component includes theoretical and research support for the component as well as suggestions for its implementation. The final section of the article provides a form supervisors and administrators can employ to assess the degree to which a schoolwide discipline program incorporates the components outlined in the article.

Philosophical Components

The two components described in this section should serve as the basis for developing a schoolwide discipline system. All decisions made and procedures

implemented should reflect a thoughtful consideration of these two components. Schoolwide discipline programs that do not reflect them are usually based on adults' self-interest and are counterproductive to the creation of a positive and effective learning environment.

Schoolwide discipline programs too often respond to teachers' needs and wants while failing to consider students' skills and developmental tasks.

1. A program should be congruent with the school's stated goals regarding student academic and personal skill development. Most school districts have produced thoughtful, educationally sound goals. Unfortunately, these goals too often remain locked in central office file cabinets while building programs reflect convenience or the most recent vogue in instruction and management. At all levels from the central office to the classroom, educational programs should be congruent with a well-articulated set of goals grounded in current theory and research in learning and human development. Comparing a program's major components to a set of previously stated educational goals provides an excellent check and balance against the authoritarianism so prevalent in schoolwide discipline programs.

2. A program must be responsive to the cognitive and psychological developmental levels of the students involved. Schoolwide discipline programs too often respond to teachers' needs and wants while failing to consider students' skills and developmental tasks. For example, primary grade children may not respond effectively to a model whose primary component involves group problem solving. Likewise, a program for young adolescents that employs rigid rules and consequences with no room for dialog will consistently conflict with these students' concerns for fairness, independence, and mutual respect (Jones, 1983a). When developing a schoolwide discipline program, educators must incorporate components that take advantage of students' current skills and developmental needs while challenging students by including components that encourage the use of more advanced skills.

Organizational Components

The two factors presented in this section represent the initial data gathering phase in a plan to establish a building-wide discipline system. When these components are incorporated, they serve as the foundation for a program that is thorough, consistent, and accurately responds to the needs of the individual school.

3. Program development and evaluation must involve the cooperative effort of the entire staff. In order to be effective, a schoolwide discipline system must have widespread staff support. Consistency in staff expectations and methods of responding to student behavior is an important factor in minimizing student misbehavior (Rutter et al., 1979). Staff members who feel uncommitted to a program can do much to minimize its effectiveness. In addition to the effect staff input has upon program consistency and staff morale, involving a wide range of staff members

Consistency in staff expectations and methods of responding to student behavior is an important factor in minimizing student misbehavior.

enhances the potential for an accurate diagnosis of the problem and for creative solutions.

Staff involvement can also serve to improve the quality of staff relationships. This is important because the quality of staff relationships will affect a staff's ability and willingness to work cooperatively and creatively in planning, implementing, and adjusting a schoolwide program (Schmuck and Schmuck, 1974). Staff relationships will also influence a discipline program because youngsters tend to model adult behavior. When staff relationships are poor, problems are more likely to occur within an institution. Purkey and Novak's *Inviting School Success* (1984), provides a thoughtful summary of the powerful role interpersonal relationships play in influencing behavior and performance in school settings.

During the initial stages of developing a schoolwide discipline program, all staff members should be involved in defining the problem and establishing procedures for generating solutions. In schools with more than 20 staff members, a committee can be charged with developing ideas for discussion by the total staff. If outside consultants are involved at this stage, their role should be to assist staff in obtaining information and to facilitate staff discussion and organization. At this point, it is counterproductive to have consultants present solutions.

4. A program should be based upon data indicating the specific factors associated with student management problems within the building. Student management problems are always to some degree related to factors existing within the school environment (Wayson and Pinnell, 1982). During the past 15 years, research and prescription in classroom management and school discipline has increasingly focused on methods for preventing rather than correcting student misbehavior. Kounin's (1970) study introduced a systematic approach to determining teacher behaviors that encourage or prevent inappropriate student behavior. Kounin discovered that teachers who were well-prepared, organized, aware of ongoing behavior, and who responded quickly and effectively to misbehavior had limited problems with student misbehavior.

Brophy and Good (1974) explored the dynamics of teacher expectations and its effect on student behavior and achievement. Later, Brophy and Evertson (1976) and Evertson and Emmer (1982) focused more directly on teacher behaviors that encouraged appropriate student behavior. This research has increasingly been translated into teacher training programs. Research has recently shown that teachers trained in certain classroom organization and instructional skills have significantly fewer problems with student misbehavior and have students whose achievement is significantly higher than teachers who lack these skills (Evertson et al., 1982; Fitzpatrick, 1982; Good and Grouws, 1979).

Research on brain functioning and

cognitive development also points to instructional factors that influence student behavior. Research based on Piaget's concepts of cognitive development and Epstein's work on brain growth periodization (Epstein, 1978; Toepfer, 1979, 1980) suggest that disruptive behavior may often be students' reaction to being confronted with material that they lack the cognitive structures to comprehend. Recent work in the fields of brain hemisphericity and learning styles (Dunn, 1983) also suggests factors that must be considered when diagnosing problems in student behavior and achievement. Schools too often implement discipline procedures that fail to take into account the academic needs of students (Jones, 1983b).

Research on school climate factors has also begun to generate useful data. Rutter et al. (1979) found that in high schools with higher student achievement and less misbehavior, teachers held higher expectations, demonstrated responsible professional behavior, and were more positive and consistent with students. Purkey (1984) summarized a decade of research on the role student self-concept plays in influencing student behavior. His work highlights the relationship between positive, invitational teacher behavior and productive student behavior.

Similarly, numerous studies (Lewis and St. John, 1974; Schmuck, 1963) indicate that the quality of peer relationships dramatically affects student behavior and achievement. John Goodlad's (1984) in-depth study of educational practices in 38 schools highlighted the fact that much student misbehavior may be a reaction to instructional practices that are emotionally flat and fail to involve students in the learning process.

Just as a teacher would not prescribe an academic program for a student without examining the student's existing skills and deficits, discipline programs should not be developed without a careful analysis of the possible causes of student misbehavior. This examination should take two forms.

First, teaching methodology, curriculum, and human relationships within the school and classroom should be systematically examined in light of current research to determine whether changes are needed. Recently the author has worked with several schools that have employed the format of:

- Offering a course in which teachers became familiar with current research in human development, classroom management, and teacher effectiveness;
- Developing assessment procedures to determine students' and teachers' perceptions of the school environment;
- Developing a list of recommendations for altering curriculum, instruction, and school climate;

Just as a teacher would not prescribe an academic program for a student without examining the student's existing skills and deficits, discipline programs should not be developed without a careful analysis of the possible causes of student misbehavior.

- Creating an implementation plan; and
- Outlining an ongoing assessment plan.

A second form of analysis involves collecting data on the frequency, type, location, timing, and pattern of behavior problems within the school. Schoolwide discipline programs often fail not because answers are not available, but because the staff initially asked the wrong questions.

Duke (1980) suggests that schools might collect the following types of data:

> (1) Average daily attendance; (2) Average daily illegal absenteeism; (3) Average daily referrals to office; (4) Annual number of suspensions and breakdown according to reason; (5) Breakdown of number and type of student behavior problems; (6) Along with above breakdowns, data on race/ethnicity of students (to determine if a disproportionate number of certain groups of students are being suspended or reported for rule-breaking); (7) Breakdown of punishments applied to students and rate of repeated offenses; (8) Estimates by administrators, counselors, and teachers of time per day spent on discipline-related matters; (9) Breakdown of student behavior problems in special programs; i.e., alternative schools, continuation schools, etc.; (10) Sources of referrals to the office; (11) Comparative data on school discipline from previous years and nearby schools; (12) Number of student behavior problems occurring "in class" and "out of class" (before school, between classes, cafeteria, after school); (13) Number of students in disciplinary difficulty who transferred into the school after regular fall registration (pp. 68-69).

While most schools will not need to collect data from all 13 areas, it is essential that solutions stem from a solid data base. Data collected in this second area of problem analysis can provide support or clarification for ideas generated by the more theoretical approach. Furthermore, collection of concrete data provides a basis from which to assess whether program changes do in fact bring about significant behavior changes.

Operational Components

The eight components described in this section comprise the operational aspects of a schoolwide discipline program. Once a staff has worked together to assess problems related to student misbehavior, the operational components should be developed with a consistent effort to ensure that the philosophical issues outlined above serve as a basis for program development and implementation.

With the exception of instructional factors, interventions aimed at improving school climate are the most important ingredient in creating positive student behavior.

5. A program must include a positive school climate component with a focus on the quality of peer and teacher-student relationships. Since schoolwide discipline programs are often developed in response to a perceived or real crisis, there is a tendency to focus on punitive measures that provide immediate, albeit short-term effects, while ignoring preventive measures that may respond to the cause of the problem. The greatest danger associated with developing schoolwide discipline procedures is that the procedures will be employed to in-

still compliance in situations where students' personal and academic needs are not being met (Jones, 1981). With the exception of instructional factors, interventions aimed at improving school climate are the most important ingredient in creating positive student behavior (Brookover, 1978; Edmonds, 1979). Numerous authors (Jones and Jones, 1981, in press; LeBenne and Greene, 1969; Purkey and Novak, 1984; Schmuck and Schmuck, 1983) have pointed to the significant relationship between student behavior and the quality of personal relationships within the school environment. Students who feel safe, accepted, cared for, and involved at school seldom exhibit consistently disruptive behavior.

When considering methods available for responding to discipline problems, educators have tended to underestimate the impact curriculum and instructional methods have on student behavior.

Numerous instruments exist for obtaining student views about school or classroom climate (Borich and Madden, 1977; Epstein, 1981; Fox, Luzski, and Schmuck, 1966; Moos, 1979). These instruments assess students' feelings about factors such as teacher-student relationships, peer relationships, the curriculum, instructional methods, and the school physical plant. Once data have been obtained from students and staff, a group consisting of students, teachers, staff, and administrators can work to implement activities aimed at creating more positive attitudes in specific areas rated as problems. A variety of sources provide creative ideas for improving school climate (Fuller and Lee, 1981; Olivero, 1977; Purkey and Novak, 1984; Robert, 1974).

Because of the high student turnover rate in many schools experiencing significant student management problems, a positive school climate program should include methods for integrating new students into the school. This should include activities for assisting new students in developing friendships, becoming familiar with school and classroom expectations, and obtaining assistance with academic, peer relationship, or other school-related problems.

6. *A program must place the initial emphasis on teachers' responsibility for adjusting students' instructional programs and implementing productive classroom management interventions.* The effectiveness of a buildingwide discipline system is based upon the instructional skill and personal warmth and concern of individual teachers. The responsibility for discipline problems is too often placed almost exclusively upon students and administrators. Educational leaders must resist the temptation to accept solutions that place few demands upon teachers.

When considering methods available for responding to discipline problems, educators have tended to underestimate the impact curriculum and instructional methods have on student behavior. Research (Block, 1978; Ellison, 1979; Osborne, 1977) indicates that low-achieving students are more frequently involved in serious misbehavior than their higher achieving peers. This sug-

gests that any effective student discipline program must focus considerable time and energy on providing students with meaningful instructional activities that provide opportunities for individual success.

Instructional activities must take into account the cognitive skills and learning styles of individual students and groups of students. A schoolwide discipline plan must systematically incorporate procedures for assessing whether a misbehaving student is involved in appropriate instructional activities and provide teachers with assistance in adjusting curriculum and instructional methods that are associated with student failure and frustration. Failure to build this component into a discipline program is a clear violation of professional responsibility.

In addition to an early emphasis on instructional factors, an effective program requires that, prior to invoking sanctions imposed by an administrator, the teacher will work with the student (and perhaps with the parents) to examine the student's misbehavior and develop a plan for improving the behavior. Since the teacher's intervention may be only the first phase of a program to help a student, forms and procedures should be developed to communicate the teacher's efforts to a counselor or building administrator (Jones, 1983a). Whenever a teacher refers a student to an administrator, the teacher should be expected to provide a written description of the methods employed to assist the student in changing his or her behavior.

Since teachers should be given major responsibility for dealing with classroom management problems, a program must provide flexibility for classroom teachers to employ methods that fit their personal style and instructional goals. Teachers vary tremendously in personal style and ability to effectively incorporate specific management methods. Teachers should be provided the most recent research concerning effective instructional and management methods, and teacher evaluation should focus on teachers' ability to implement methods they select that incorporate these findings. Consistency in handling discipline should be provided through consistent but not identical approaches to instructional excellence, sound management approaches employed within classrooms, and by systematic procedures after a teacher has referred a student.

7. A program should emphasize training that provides students and staff with new personal and educational skills. Schoolwide discipline systems too often focus on developing systematic procedures for monitoring and disciplining students. Instead, discipline should be viewed as a process for teaching students and teachers alternative methods of meeting their personal and intellectual needs (Jones, 1977).

When a school accepts this definition of discipline, its student management program focuses on training teachers and students in new methods for structuring the learning environment, presenting information, learning, interacting, and solving problems (Alschuler, 1980; Jones, 1980). The emphasis is shifted away from controlling students and toward creating methods that increasingly involve both parties in mutually positive educational and personal experiences within the school setting.

Training for students may include instruction in communication skills, study skills, or problem-solving methods. Teacher training may involve teachers in a review of human development theory and research, new ideas for instructional methods appropriate for the age group they instruct, curriculum evaluation workshops, and new approaches to handling disruptive student behavior (Jones, 1982). If educational leaders wish to retain the best teachers and increase student achievement, they must place a high priority on quality inservice training.

This training should be provided during released time so teachers view it as a legitimate aspect of their job. Equally important, this training must actively involve teachers in small groups where they can share their expertise, generate new methods, and be accountable to report the results obtained when implementing new methods. Teaching is a

Checklist for Evaluating a Schoolwide Discipline Program

Components of an Effective Program	How Effective Have You Been in Incorporating Each Component?			
	Very Effective	Moderately Effective	Limited Effectiveness	Not Evident
Philosophical components				
1. The program is congruent with the school's stated goals regarding students' educational and personal skill development.				
2. The program responds to the developmental levels/tasks of the students involved.				
Organizational components				
3. The program's development and ongoing evaluation involves representatives from the entire school community: teachers, administrators, staff, students, and parents.				
4. The program is based upon data concerning specific factors associated with student management problems within the building.				
Operational components				
5. The program includes a positive school climate component with a focus on the quality of peer and teacher-student relationships.				

highly demanding profession that requires support, skill improvement, and periodic opportunities to sit back and assess one's work.

8. A program must include clear, concise school rules that are systematically communicated to students, parents, and staff. Since middle school and high school students are particularly sensitive to issues such as fairness, democracy, and individual rights, an effective program involves these students in the process of developing school rules. Once rules have been established, everyone involved must understand and have an opportunity to question and discuss the rules and procedures.

9. A program should include a clear statement concerning consequences associated with violating school rules. Consequences for violating school rules should be communicated to students and parents. Several methods of disseminating this information include printing

	Very Effective	Moderately Effective	Limited Effectiveness	Not Evident
6. The program places the initial emphasis on teachers' responsibilities for adjusting students' instructional programs and implementing productive classroom management interventions.				
7. The program emphasizes educational activities that provide students and staff with new knowledge and skills.				
8. The program includes clear, concise school rules that are systematically communicated to students, parents, and staff.				
9. The program includes a clear statement concerning consequences associated with violating school rules.				
10. The program provides a consistent response to students referred by a staff member.				
11. The program includes a systematic procedure for involving parents in working with the school to alter their child's behavior.				
12. The program includes periodic analysis of data related to key outcome variables.				

it in a parent-student handbook, making presentations in classes attended by all students, posting the information in prominent places around the school, and discussing the program components at an evening community meeting.

10. A program must provide a consistent response to students referred by a staff member. A discipline program must place a premium on fairness and consistency. Most students are willing to accept a system in which reasonable rules that facilitate learning apply equally to all individuals. Consistency also meets teachers' need to have consistent support in matters involving student misbehavior. Teacher morale and willingness to be productively involved in working with misbehaving students are strongly influenced by the clarity, consistency, and quality of the support they receive in dealing with consistent and/or serious student misbehavior.

Therefore, an effective program includes written referrals from the teacher followed by written feedback from the administrator or staff member responsible for handling the referral. The response should verify that the situation was handled according to the designated procedure and inform the teacher of additional methods being employed to assist the student and/or potential sources of assistance for aiding the teacher in working with the student.

A program will not work effectively if the individual responsible for dealing with consistent or serious misbehavior does not feel comfortable with the approach he or she must employ. Both teachers and students will become confused or angered if students referred for serious misbehavior are not dealt with skillfully within the expectations created by the school's discipline procedures. When a program is being developed, staff, students, and administrators must work together to design a program that is acceptable to all.

11. A program should include a systematic procedure for involving parents in working with the school to alter their child's behavior. Parents are extremely important to young people and play a significant role in influencing their behavior (Conger, 1984; Norman and Harris, 1981; Streit, 1980). Not surprisingly, studies show that parents can have a major positive impact on their youngster's school behavior (Jones, 1980; Walker, 1979). Therefore, an effective schoolwide discipline system that includes a component for dealing with continual or serious student misbehavior must involve parents in a consistent, predetermined manner that has been clearly articulated to staff, students, and parents.

The type of parent involvement requested will differ depending on such factors as the student's age and the community in which the school is located. Nevertheless, parent involvement should initially involve informing the parents, but for consistent and/or serious offenses should involve conferences with school personnel.

12. A program should be periodically evaluated by collecting and analyzing data related to key outcome variables. Schools too often spend time and money developing and implementing new procedures, yet forget to systematically assess the results. A schoolwide discipline program should be aimed at altering specific student behavior, and data are needed to assess program effectiveness. Data for evaluative purposes should

center around repeated samples of the initial data.

Assessing a Schoolwide Discipline System

The 12 components described in this article can serve both a planning and evaluation function. Educators involved in developing a buildingwide program can use these components as guideposts for establishing an effective program. Those who have an existing program can evaluate it by determining the extent to which the program systematically and effectively incorporates each component.

The figure provides a form administrators, supervisors, or schoolwide discipline committees can employ to assess the quality of a projected or functioning discipline system. The information generated from employing this form can indicate areas within a system (including its philosophical and organizational foundation) that need reworking if the program is to be educationally sound and professionally responsible.

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What Is the Principal's Responsibility

Problems To Avoid and Procedures To Follow in Assessing Handicaps

George E. Marsh II
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How vulnerable are principals in their role as assessors of handicaps? This article presents information on the scope of assessment, test validity and reliability, and commonly used tests. The writers also discuss specific problems as well as steps principals can take to avoid legal actions.

With the full implementation of the Education for All Handicapped Children Act of 1975, P.L. 94-142, the principal has become more involved with the process of psychoeducational assessment of handicapped students.

Although diagnostic and placement decisions in special education are made by multidisciplinary teams consisting of teachers and a variety of ancillary personnel, school principals in most states will be personally responsible for all administrative details of the assessment process and will be legally accountable for assessment practices and outcomes. Since principals have ultimate responsibility for assessment and placement decisions of a staff committee, they must not blindly entrust all assessment matters to the staff.

Principal's Primary Concerns

Central to the psychoeducational

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assessment process are two areas of primary concern to the principal: 1) the appropriateness of tests in the assessment of any particular student; and, 2) the diagnostic criteria used to interpret test results so that educational placement decisions can be made.

Errors in assessment and/or the interpretation of test data may lead to an erroneous classification of a student, disputes with parents, and sanctions by regulatory agencies. The selection of appropriate tests and the determination of a handicapping condition are especially important when the referred student is a member of a minority group or has a markedly different cultural background.

The purpose of this article is to help principals understand the appropriate use of tests in the diagnosis of handicaps so that they can better monitor the special education assessment process. Through an awareness of the testing regulations and the specific uses of such tests and testing procedures, principals can give better guidance to the diagnostic process and be more confident about its validity.

Areas of Assessment

Federal guidelines do not contain specific recommendations about which tests should be used in an assessment battery. Some states may specify which instruments should be used, but selection of instruments and the interpretation of test results are matters typically delegated to assessment personnel at the local level.

Due to the variability of competencies among local examiners, the ambiguity of diagnostic criteria, the expense of the testing program, and the potential for litigation, the principal must exercise informed judgment in monitoring the entire assessment process. Because each state and each school district undoubtedly has an operational assessment program, the concern of this article shall be confined to the appropriateness of instruments and the match between test data and diagnostic criteria.

The following areas have been identified as potential areas of evaluation in assessment for a referred student (Walker 1976, p. 21):

Educational functioning deals with the student's achievement in the various subject areas, individual learning style, and instructional strengths and weaknesses.

Social-emotional functioning includes specific social and psychological development skills and behaviors, such as attending and receiving, responding, valuing, organizing, and characterizing as well as self-help skills.

Physical functioning includes general medical health indicators as well as specific information on vision, hearing, speech, and motor/psychomotor development.

Cognitive functioning describes measures of student mental ability such as intelligence, adaptive behavior, and general thinking and reasoning processes.

Language functioning describes a student's ability to use receptive,

expressing and nonverbal language as well as any specific speech or speaking deficiencies.

Family describes family background and needs such as dominant language, parent-child interaction patterns, and social service needs.

Environment includes specific information regarding the student's home, school, interpersonal, financial, and material environment.

Within these areas examiners may employ a variety of tests to elicit information upon which to make diagnostic and placement determinations in special education. Literally thousands of tests may be used. Thus, it is important to focus on the federal regulations pertaining to appropriateness of tests, the domains or classification of test instruments, and the instruments in most frequent use by examiners across the nation.

Test Validity, Reliability

The *Federal Register*, 1977, 42(163), 42496-42497, lists the following guidelines for assessment in special education:

1. Tests and other evaluation materials are provided and administered in the child's native language or other mode of communication;
2. Tests have been validated for the specific purposes for which they are used;
3. Trained personnel shall administer tests and conform to the instructions for administration provided by the test developer;
4. A test shall be selected and administered so that it accurately reflects the child's aptitude or achievement rather than reflecting the child's impaired sensory, manual, or speaking skills, except where those skills are the factors which the test purports to measure;
5. No single procedure is used as the sole criterion for determining an appropriate educational program for a child;
6. The evaluation is made by a multidisciplinary team, including at least one teacher or other specialist with knowledge in the area of suspected disability; and
7. The child is assessed in all areas related to the suspected disability: including, where appropriate, health, vision, hearing, social and emotional status, general intelligence, academic performance, communicative status, and motor abilities.

Additionally, in the area of learning disabilities, the school must present evidence that one team member has observed the child in the regular classroom setting; thus, many districts simply require that all referred students be so observed.

Among these guidelines, the most difficult to monitor and potentially troublesome are the second and third directives which deal with the validity of the test and its proper administration. It is the responsibility of the principal to be certain that tests selected by the team have been validated for the specific purposes for which they are employed in the as-

sessment program and that trained personnel will strictly adhere to the instructions of test manuals, either to administration or interpretation.

In essence, these basic considerations refer to test *validity*, the extent to which sufficient research has been done to determine that a test actually measures what its authors or users claim it measures (Salvia and Ysseldyke 1978, p. 95).

The use of valid tests is the responsibility of the school. However, even though a widely accepted and valid instrument is selected, it may be used inappropriately by an examiner who does not understand the specific use for which the test was validated.

If a user wishes to use the instrument in a situation for which it is not recommended in the test manual, or for which there are no data to establish validity, then the user is responsible for providing the evidence of validity. The importance of this issue cannot be overestimated because the validity of a test is the basis for making inferences from test data; that is, validity of an instrument is essential before one can label a student as handicapped and prescribe some type of special education placement. If validity is questionable, then the school is vulnerable to legal action.

In league with school personnel, or external consultants if necessary, principals should examine each instrument to assure that validity data are contained in each test manual. Decisions about a specific test should be made on the basis of the degree to which the test measures the suspected handicapping condition.

In addition, principals should determine if validity data were provided for the specific type of student being tested. This is especially crucial if the test will be used to diagnose handicaps for minority students. The basic queries should be:

- Are the tests used consistent with the guidelines?
- Are the tests used with a particular student reasonable and appropriate considering his or her background and suspected disability?

Principals should request answers to these questions from their special education personnel prior to approving any testing.

Another important property of a valid test is its reliability. It is impossible to interpret a test unless it is reliable—that it provides consistent results over repeated administrations. Most tests used in the assessment of handicapped students will be, by necessity, individual standardized instruments. A desirable feature of such tests recommended by some authorities is that the reliability coefficient should be .90 or above.

This information, along with other indices of reliability—such as normative information, percentiles, grade levels, standard scores, the standard error of measurement, and so forth—should be clearly prominent in the manual. If not, the test is suspect.

The fact that a test is widely used and recommended by a number of professionals is no assurance that it is

valid and reliable, and no defense in a legal proceeding. A test which is unreliable is useless and must not be used in diagnosis because it is unable to provide examiners with information that is any better than a guess; as such, it provides only a measure of error. It is professionally and legally unacceptable to diagnose, classify, label, and remove youngsters to special education programs on the basis of poor instruments. In general, the following points may be made about the appropriateness of tests:

- A test is not appropriate if it is not valid and reliable.
- A test is not appropriate if it is used for purposes other than that for which it was designed. An intelligence test was not intended to diagnose brain damage; an achievement test that does not reflect what has been taught in the curriculum is a misuse.
- A technically adequate test used with a student whose background and experiences are not reflected in the normative group of the instrument is inappropriate.

Commonly Used Instruments

Although numerous tests might be used in an assessment program, certain instruments enjoy popularity for a variety of reasons, not the least of which is the fact that some do not require much time to administer. Below are specific instruments that are in common use. Readers should note that test use violations may occur frequently, such as using a test designed for young students with older subjects or making erroneous assumptions about traits the test was not designed to measure.

Peabody Individual Achievement Test (PIAT). This test yields age equivalents, grade equivalents, percentile ranks, and standard scores (mean 100; standard deviation 15) for behaviors in mathematics, reading recognition, reading comprehension, spelling, and general information. Reliability coefficients are reported for K, 1, 3, 5, 8, and 12th grades which range from .64 to .89. Black subjects were included in the standardization group. Although this is a well-standardized test, reliability values limit its use to screening; it may not reflect the curriculum of a school and would be of limited use as a test for progress and retention in special education. This is not a diagnostic instrument but many programs use it as such.

Wide Range Achievement Test (WRAT). The WRAT yields grade equivalents, percentile ranks, and standard scores (mean 100; standard deviation 15) for behaviors in reading, spelling, and arithmetic. Although the reliability coefficients are high, the authors do not report test-retest reliability. Norms were not stratified for racial, socioeconomic, and geographic variables; no handicapped children were included. There is no measure of reading comprehension. The WRAT has a limited and questionable normative population, limited behavior sampling, and questionable validity (Salvia and Ysseldyke 1976). With these facts in mind, if the WRAT is used, the choice would be for screening. The WRAT can give a global score but little other information. Its wide acceptance, short time for administration, and low expense do not recommend it in view of other deficiencies.

KeyMath Diagnostic Arithmetic Test. The KeyMath test yields grade equivalents, scores in math processes, and criterion-referenced scores. Although there were some limitations in the norms for standardization, if KeyMath is used as a criterion-referenced test the norms will be of relative unimportance. The test is limited because it stops at the 7th grade level. This test will provide much more information than a global score but should be used in assessment, not screening.

Woodcock Reading Mastery Tests. The Woodcock yields grade scores, age scores, percentile ranks, and standard scores for K-12, in letter identification, word identification, word attack, word comprehension, and passage comprehension. Due to some reliability coefficients in some subtests the user should be cautious, but standardization was a major concern of the developer. Depending upon the skill of the user, significant diagnostic data can be derived from the test.

Bender Visual Motor Gestalt Test. The Bender is a simple test which merely requires a subject to copy nine geometric designs on a piece of paper. The norms are inadequate and the validity is questionable (Salvia & Ysseldyke 1976). Nonetheless, this instrument has been used to diagnose brain damage in children and adults, to test visual perception, and to diagnose emotional disorders. The validity is further compromised by users who make a range of inappropriate inferences with test results. The reliability is low and validity is not clear, depending upon the purposes for which it is used. It has not been demonstrated that the Bender can measure visual-motor perception, perceptual handicaps, brain injury, or emotional disorders. It certainly cannot be used to diagnose learning disabilities or minimal brain damage as a single criterion, although this diagnosis can frequently be found in student records. The test should not be used to measure intelligence. Because of the acceptance of this instrument for a full-range of disorders in special education, the principal should carefully examine the purposes of local examiners if they use the instrument.

AAMD Adaptive Behavior Scales. Due to the need to confirm mental retardation with measures other than intelligence, especially in cases of minority students, because of the suspected bias of intelligence tests, the Scales have become very popular. There are forms for institutionalized and public school students. For the public school versions there are no reliability data, it was standardized on a group of children in one state, and the numbers of subjects at certain age levels are extremely small. The validity and reliability data are not appropriate for making placement decisions and confirming or rejecting a diagnosis of mental retardation. Nonetheless, in some states, the instrument is required in the test battery. The school should be extremely cautious about its use.

Peabody Picture Vocabulary Test (PPVT). The PPVT is a test that provides a measure of receptive vocabulary, although it has been inappropriately used as a measure of intelligence. It was standardized only on a group of white children in the South. It yields a mental age, percentile ranks, and deviation IQ's for subjects up to age 18. Reliabilities range from .54 to .88 making it more useful as a screening test, if the limited norms are taken into consideration. Use with minority students requires caution.

Stanford-Binet Intelligence Scale (1972). The Binet is well-known in education; hence, it is widely accepted. However, the 1972 edition neglects a description of demographic characteristics of subjects, there are no reliability data, and no validity data. Placement decisions in special education based on this version of the Binet, if contested, would be difficult to defend in a legal arena if

these facts were brought to light during the proceedings.

Wechsler Scales. The Wechsler Revised Scales for Children, WISC-R, and the WAIS are also well-known in education; they yield verbal, performance, and full scale IQ scores and scores in subtests. These scales are technically adequate with good reliability and validity. Minority subjects were included in the standardization. If attention is paid to the standard error of measurement and confidence intervals, the test can be used with assurance. However, if the test is used to diagnose minimal brain damage and emotional disturbance, the same cautions apply as suggested for the Bender. Scatter on the subtests, even when significant discrepancies are determined, are not necessarily indicative of central nervous system damage or other pathologies.

Assessment Issues

Although principals should be concerned about test validity and reliability as well as the appropriateness of any one specific test for use in assessing a certain type of handicap, they should also be aware of one additional assessment problem—the definition of what is a handicap.

In general, there is little controversy about the definitions of handicap and the service needs of many classes of handicaps, such as speech impaired, orthopedically handicapped, deaf, and visually impaired. In essence, these children have visible, undeniable handicaps and the criteria for determining eligibility in these categories incorporate widely accepted standards. The school is not required to persuade the parents that the child is handicapped because, in most cases, the parents clearly recognize the symptoms; many children in these categories are identified prior to school admission.

Unfortunately, assessments in the areas of learning disabilities, mental retardation, and emotional disturbance are more difficult since these handicaps are not visible and the definitions of eligibility are disputed as are the diagnostic symptoms. Even within the special education profession there is considerable controversy about the labels, definition, characteristics, and educational practices associated with these three areas of handicaps.

Furthermore, if the student who is suspected of having a handicap in one of these categories also happens to be a member of a minority group, the assessment process is further complicated by the contention that certain psychoeducational instruments contain racial bias. Therefore, testing practices in these three areas of handicap are uncertain because the definitions are questionable and because of the possibility that test instruments will be unsuitable for minority youngsters.

School principals must exercise special caution when assessing a student suspected of being learning disabled, mentally retarded, or emotionally disturbed since the districts' decision regarding which "definition" of those handicaps it chooses to adopt and which tests and ranges for test scores it deems valid will determine whether an individual is identified or

not identified as having a handicap. Since other school districts may choose to adopt different definitions and standards, any one particular school risks being charged with erroneous classification of youngsters. Let us examine each of these special areas of handicap and discuss some of the important assessment considerations for the school principal.

LEARNING DISABILITIES. Most state agencies issue definitions of learning disabilities that reflect the influence of federal guidelines. However, there is wide variation among state assessment procedures that are employed for identification of students with learning disabilities. In some states a specific battery of tests is either required or recommended by the state education agency, but more frequently diagnostic decisions are made by local examiners independent of a specified battery of tests.

Theoretically, learning disabilities assessment entails the identification of significant disorders in one or more of the basic psychological processes involved in understanding or using spoken or written language. Such disorders may be manifested in a student's imperfect ability to listen, think, speak, read, write, spell, or to do mathematical calculations.

However, in conjunction with these disorders the student must also possess at least normal intellectual ability and be free of visual, hearing, emotional, or other impairments.

Several problems emerge for the individual making the assessment and diagnosis in the area of learning disabilities. First, there is no standard for comparison. Second, there is confusion about the nature of the underlying "processes" used to explain academic failure; and, finally, there is no consensus about which tests should be used and how they should be interpreted.

Even if the individual making the assessment uses an accepted guideline such as one or two standard deviations below the mean on measures of academic performance as the first piece of evidence to suggest a learning disability, there can be no real assurance that the lack of academic performance is just that or is really a function of some disorder in a physical or mental process, such as visual perception. In any event, many such "process oriented" tests have questionable validity and marginal reliability, as we have discussed earlier.

Furthermore, to conclude that a student has minimal cerebral dysfunction or brain damage involves considerable justification and invites serious criticism because the tests are not validated for such a purpose. To attempt to determine a central nervous system dysfunction, brain damage, or faulty psychological process, given the complexity of these concepts and the limitations of existing tests, can be a frustrating endeavor which may invite parents to lodge complaints against the school.

MENTAL RETARDATION. If the problem in learning disabilities is to find an accurate measurement of significant differences between ability and academic achievement which can be

explained as a process disorder, the difficulty in mental retardation is that of precisely defining the nature of mental retardation.

To date, a low IQ test score has served as the generally accepted procedure for defining mental retardation. But, the IQ test does not provide the examiner with a measure of intelligence, and certainly not an index of intellectual ability or capacity. Rather, the IQ predicts school success and alerts the school to the possibility that a student will experience failure without special services.

In order to consider a youngster to be mentally retarded it is necessary to obtain an IQ score on an individualized test that is at least two standard deviations below the mean and this finding must be found in association with impaired "adaptive behavior" occurring during the developmental period of childhood.

The definition of adaptive behavior is also controversial and the few tests that are used to measure it are either already highly correlated with intelligence tests, which means that they probably measure the same traits as do IQ tests, or their reliability and validity are in serious doubt.

If a student is a member of a minority group, additional concerns about test appropriateness surface due to racial bias purported to certain tests. Because most litigation in special education has stemmed from cases concerning minority youngsters classified as mentally retarded, it is important for the principal to exercise greater caution in this area of assessment than many others. Extreme care should be exercised to be sure that there is not a tendency for minority youth to be classified as mentally retarded or behaviorally disordered.

EMOTIONAL DISTURBANCE. Of all the categories in special education, emotional disturbance probably has the weakest definition and poses the greatest danger to a student because the label has connotations of mental illness.

The risk for a youngster is that the more his cultural background differs from the predominant norms of the school, the more likely that he may be noticed and classified as emotionally disturbed because of different behavior patterns. At the present time, the federal regulations pertain only to *seriously* emotionally disturbed children who may be regarded as schizophrenic, autistic, or who have such extreme behaviors that they cannot be educated without special services.

Unfortunately, youth with relatively mild behavioral disorders are likely to be classified as emotionally disturbed in some settings because they exhibit behaviors that are annoying although not indicative of a serious disorder. Characteristics, such as poor or unruly conduct, withdrawn behavior, shyness, aggression, and so forth, are apparent in many students of all ages and backgrounds and, at times, may be considered normal.

Personality tests that have been used in the past to diagnose emotional problems have become highly criticized in recent years. Thus, most at-

tempts to diagnose children in this category will, of necessity, rely upon the opinions of one or more professionals rather than data from standardized instruments.

Herein lies the danger for the school principal. It must be demonstrated that the student clearly deviates in age-appropriate behavior to such an extent that it seriously interferes with development, learning, and social interactions. Assessments in this area should be based upon extensive observation and substantiation regarding the kind, amount, and intensity of deviant behavior.

Unusual or different behaviors of students which might be explained in part by cultural background or experiences may not be pathological, even if the behaviors interfere with learning to some extent. Since there is no standardized test which compares such behaviors, the school must determine local standards of behavior as evidenced by those attending school in the district.

Recommendations for Principals

Although assessment regulations complicate the job of the principal, assessment decisions of the principal do affect the placement of students. In some cases where assessments have been made through ignorance or error, youngsters and their families have been harmed.

The purpose of P.L. 94-142 is to assure and protect the rights of handicapped youth and the portions of the Act that pertain to assessment require procedures that are not unreasonable. The problems occur because of the poor definitions of certain categories of handicapped conditions and the unavailability of adequate instruments in some areas of assessment.

To be assured that the special education diagnosis system is appropriate and to avoid litigation, the principal and his or her staff should devote considerable attention to assessment procedures because it is here that most problems can be anticipated. In any procedure the burden of proof is on the school to defend its choice of instruments, to explain the criteria for placement, and the interpretation of test information.

To minimize the chances for error and potential conflict with parents the principal should take the following actions:

1. Assume an active leadership role in the referral, diagnostic, and placement process;
2. Review the federal and state requirements pertaining to assessment with particular attention to the prevailing definitions and assessment procedures;
3. Review the instruments used by the district to determine their validity and reliability as recommended above;
4. Review the credentials of testing personnel, examiners, and other external personnel and seek to determine their competence to provide testing assessments;
5. Be certain that external examiners are adhering to school policies and

regulations, especially in the use of instruments;

6. Be certain that parents have a voice at each juncture of the assessment process;
7. Arrange for inservice training to keep examiners and other staff members current on trends in assessment and research in special education.
8. Be sure that teachers understand appropriate definitions of handicaps and are conscious of those definitions when referring students for diagnosis.

The purpose of this article was to help make principals aware of their responsibility for assessing handicaps as well as some of the problems associated with that assessment. Criteria for test selection as well as information about commonly used tests has been discussed so as to assist the principal in fulfilling his or her assessment responsibility more effectively.

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Expulsion, Suspension, and the Handicapped Student

By reviewing the rulings regarding handicapped students this writer provides some insight into trends the Supreme Court may be following when handing down such decisions.

By David R. Adamson

Principals who are charged with maintaining order and discipline in the nation's public schools are being challenged when they use the tools of expulsion and suspension to discipline handicapped students. While *Goss v. Lopez*[1] established due process as a prerequisite to suspension and expulsion, these two tools were still viewed by the Supreme Court as legitimate and even valuable tools for maintaining order.

However, in 1975 the Education for All Handicapped Children Act (Public Law 94-142)[2] established the right of handicapped students to a free and appropriate education. Soon after the regulations went into effect in October 1977, advocates for the handicapped began to reason in court that expulsion and suspension may have the effect of denying handicapped students their right to an appropriate education. This situation has created a serious dilemma for principals and administrators in the past few years. It has also generated a fair amount of attention among the federal judiciary. Several trends are beginning to emerge in the decisions being handed down, and they can be useful to principals attempting to maintain discipline in schools that enroll handicapped students.

1. *Goss v. Lopez*, 419 U.S. 565 (1975).

2. The Education for All Handicapped Children Act, 20 U.S.C.A. §§1401 et seq.

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Statutory Provisions: 94-142 and 504

Public Law 94-142 was passed by Congress in 1975. Its stated purpose was:

> (a) To insure that all handicapped children have available to them a free appropriate public education which includes

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special education and related services to meet their unique needs,

(b) To insure that the rights of handicapped children and their parents are protected,

(c) To assist States and localities to provide for the education of all handicapped children, and

(d) To assess and insure the effectiveness of efforts to educate those children.[3]

Neither the Act nor its accompanying regulations (1977) indicate how a handicapped student is to be disciplined. They do, however, mention discipline in very broad terms:

> While the placement may not be changed, this does not preclude the agency from using its normal procedures for dealing with children who are endangering themselves or others.[4]

This statement sheds little light on the question of expulsion and suspension. However, contained within the regulations are six concepts which have formed the foundations upon which the courts have based their decisions.

1. The law provides handicapped students the right to a free, appropriate public education (FAPE).[5] "Free" means at public expense. "Appropriate" means that the program must be individually designed to meet any particular student's needs.
2. The law requires that this education must be conducted in the "Least Restrictive Environment." This means that handicapped children have the right to be educated with non-handicapped children whenever possible. This is accomplished by requiring schools to provide a continuum of alternative placements.[6]
3. Decisions regarding the identification and placement of handicapped students may only be made by a multi-disciplinary team of "specialized and knowledgeable persons."[7] This team is also charged with deciding what is and what is not "appropriate" in any given time, place, and circumstance.
4. Each handicapped student must have an Individualized Education Program (IEP) written expressly for him or her by the school professionals with the help of the parents. This document states the nature of a student's specialized program and must be reviewed at least annually, and whenever a change of program or placement is contemplated.[8]
5. Any dispute regarding the nature of a student's placement or program is resolved through the due process procedures specified in the regulations.[9]
6. During "pendency" of a due process proceeding, the student must remain in the current placement until those due process procedures are completed, "unless the parents and agency agree otherwise."[10]

Another protection for handicapped students which is not a part of the Act, yet is often cited as a basis for decisions regarding handicapped students, is Sec-

3. 45 C.F.R. §121a.1.
4. 45 C.F.R. §121a.513 (comment).
5. 45 C.F.R. §121a.1.
6. 45 C.F.R. §121a.550, §121a.551.
7. 45 C.F.R. §121a.553(a)(3).
8. 45 C.F.R. §121a.340.
9. 45 C.F.R. §121a.500. These are described in far greater detail than the Supreme Court described in *Goss v. Lopez*.
10. 45 C.F.R. §121a.513.

tion 504 of the Rehabilitation Act of 1973. This section states:

> No otherwise qualified handicapped individual in the United States, as defined in section 706(6) of this title, shall, solely by reason of his handicap, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.[11]

Consequently, any decision or policy made by a school or district that may be construed as discriminating on the basis of a handicap alone is subject to review by the federal courts.

Federal legislation in the 1970s regarding the rights of the handicapped quickly set the stage for a second review of what had previously been considered standard, routine, and well-established disciplinary tools: expulsion and suspension. The first review, *Goss v. Lopez* (1975), clarified the prerequisite procedures for using expulsion and suspension. This second review is challenging the very use of expulsion and suspension for handicapped students.

Review of Cases

The first precedent on this issue was set in 1978 in the case of *Stuart v. Nappi*.[12] Kathy Stuart (fictitious name) was in her third year at Danbury High School in Danbury, Conn. School records indicated that Kathy had complex learning disabilities, limited intelligence, and emotional difficulties. The records also showed that she had a history of behavior problems. She was first placed in a special education resource room in February of 1975, and had a mixture of successes and failures in that program during the next two years.

By March of 1977, her "Planning and Placement Team (PPT)" recommended several changes in her program, including continued work in her special education program and placement in a vocational training program. These recommendations were either not followed or a scheduling error was made, and Kathy stopped attending her learning disability program by the beginning of the 1977-78 school year.

On September 14, 1977, Kathy was involved in schoolwide disturbances that erupted at the school. As a result of her participation in these disturbances, she received a 10-day disciplinary suspension and was scheduled to appear at a disciplinary hearing on November 30, 1977. The superintendent recommended to the Danbury Board of Education that she be expelled for the remainder of the 1977-78 school year. On November 29 her parents asked for and obtained a Temporary Restraining Order preventing the board of education from conducting the hearing on her expulsion. Among the findings of the court at the Preliminary Injunction Hearing on December 12, the court found the following:

1. Kathy Stuart was not provided the appropriate education recommended by her PPT in March of 1977, and that this may have contributed to her disruptive behavior.
2. Kathy has the right to remain in her present placement until her complaint is resolved, even when this conflicts with Danbury High School's disciplinary process.
3. School authorities can deal with emergencies by suspending handi-

11. 29 U.S.C.A. §794.
12. *Stuart v. Nappi*, 443 F. Supp.1235 (D. Conn. 1978).

capped children. This has the effect of permitting the child to remain in his or her present placement, while allowing the school to exclude a student for a short period of time (up to 10 days in Connecticut).

4. Since expulsion has the effect of restricting the availability of alternative placements to homebound instruction and private placement, it might also exclude her from receiving her appropriate education in the least restrictive environment.
5. Expulsion is, in effect, a change of educational placement. Any changes in placement can only be made by the student's PPT after considering the range of available placements and the student's particular needs.

The court, not unaware of the significance of this decision on school disciplinary procedures, also stated:

> This Court is cognizant of the need for school officials to be vested with ample authority and discretion. It is, therefore, with great reluctance that the Court has intervened in the disciplinary process of Danbury High School. However, this intervention is of a limited nature. Handicapped children are neither immune from a school's disciplinary process nor are they entitled to participate in programs when their behavior impairs the education of other children in the program. First, school authorities can take swift disciplinary measures, such as suspension, against disruptive handicapped children. Secondly, a PPT can request a change in the placement of handicapped children who have demonstrated that their present placement is inappropriate by disrupting the education of other children. The Handicapped Act thereby affords schools with both short-term and long-term methods of dealing with handicapped children who are behavioral problems.[13]

13. Ibid., at 1243.

The preliminary injunction was subsequently granted, and the PPT was ordered to conduct an immediate review of Kathy's program.

Within a year of the Stuart case, a district court in Indiana further clarified the intent of Congress in the case of *Doe v. Koger* (1979).[14] Contained in the opinion of the court is a straightforward statement of interpretation:

> Congress's intent in adopting the Handicapped Act is clear. A school which accepts Handicapped Act funds is prohibited from expelling students whose handicaps cause them to be disruptive. The school is allowed only to transfer the disruptive student to an appropriate, more restrictive, environment.[15]

A distinction emerges here that is very important; P.L. 94-142 does not prohibit all expulsions of disruptive handicapped students. Only those who are disruptive because of their handicap are prohibited from being expelled. Consequently, when a handicapped student is involved, expulsion may not be considered until it has been determined that the student had been appropriately placed. This determination is made according to the procedures outlined in the Act. In this case the School District of the City of Mishawaka violated the Act by expelling Dennis Doe without first determining " . . . whether his propensity to disrupt was the result of his inappropriate placement."[16]

In *Sherry v. New York State Education Department* (1979)[17] a blind and

14. *Doe v. Koger*, 480 F. Supp.225 (N.D. Ind. 1979).
15. Ibid., at 228.
16. Ibid., at 229.
17. *Sherry v. New York State Education Department*, 479 F.Supp.1328 (W.D.N.Y. 1979).

deaf student who suffered from brain damage and an emotional disorder which made her self-abusive was suspended and sent home from her residential school to be hospitalized for medical treatment. Before her return, the school's superintendent wrote Mrs. Sherry indicating that the school was not sufficiently staffed to adequately care for her daughter, and that if she returned, she would be suspended again. The court found no problem with the first suspension where the girl was a danger to herself. It did find, however, that the second suspension was, because of its indefinite nature, a change of placement contrary to the recommendations of the placement team, and subject to the procedural safeguards of the Handicapped Act.

This notion of ensuring that any change of placement be conducted according to the procedures outlined in the Handicapped Act was strengthened in the case of *Blue v. New Haven Board of Education* (1981).[18] John Blue was a 16-year-old student who was classified as emotionally disturbed and enrolled in a resource program in his local high school. On December 18, 1980, John was involved in an altercation with his biology teacher. Biology was one of his "mainstreamed" classes, which he had failed in the first quarter. John was immediately suspended by the school principal, and provision was made for homebound instruction between the end of the suspension period and a planned expulsion hearing before the board of education on January 28, 1981.

On January 8 the PPT met and recommended placement either at a more restrictive alternative center, or continuance in homebound instruction as the most appropriate educational program. Counsel for the Blues asked for a preliminary injunction restraining the board of education from conducting any expulsion hearing and to direct reinstatement into his special education program. The court granted this injunction citing the right to remain in one's current placement until due process proceedings are resolved; that expulsion is not a legal means to change the placement of a handicapped student; and that handicapped students have the right to an education in the least restrictive environment. The court also directed that he be "reinstated into his presuspension special education placement or some other educational program chosen by agreement of the parties during the pendency of any proceedings conducted pursuant to 20 U.S.C. §1415."[19]

Most of the concepts described to this point were brought before the Fifth Circuit Court of Appeals in the case of *S-1 v. Turlington* (1981).[20] This case is particularly important because it was the first federal appellate to review the issue of discipline and the handicapped student. The case was appealed to the Supreme Court which denied a petition for certiorari on November 9, 1981.[21] Nine students, all of whom were classified as educable or mildly mentally retarded, were involved in a variety of serious problems ranging from masturbation, sexual acts against other students, will-

18. *Blue v. New Haven Board of Education*, 3 EHLR 552:401 (1981).

19. Ibid., at 407.

20. *S-1 v. Turlington*, 635 F.2d 342 (5th Cir. 1981).

21. *S-1 v. Turlington*, 398 U.S. 928 (1981).

ful defiance of authority, insubordination, vandalism, and the use of profane language.

All nine students were expelled from Clewiston High School, Hendry County, Fla. for the remainder of the 1977-78 school year and the entire 1978-79 school year (the maximum expulsion under Florida law). The district court found a denial of rights of handicapped children, and entered a preliminary injunction against the state and local officials. In upholding the ruling of the district court, the circuit court confirmed or clarified the following concepts related to the expulsion of handicapped students:

1. "A determination that a handicapped student knew the difference between right and wrong is not tantamount to a determination that his misconduct was or was not a manifestation of his handicap."[22] Neither can the relationship between a handicap and disruptive behavior be based upon the generalization that the student is not classified as "seriously emotionally disturbed." Also, this determination cannot be made by school officials, but rather by the "specialized and knowledgeable group of persons" described in the Handicapped Act Regulations.

2. Citing the *Stuart* case, they agreed that expulsion is a change in educational placement and as such, invokes the procedural safeguards of the Handicapped Act.

3. "Expulsion is a proper disciplinary tool under the Handicapped Act and Section 504, but a complete cessation of educational services is not."[23]

4. The burden of determining whether a student's misconduct is a manifestation of the student's handicap is on the state and local officials, not on the student.

5. Even if a handicapped student voluntarily withdraws from school or agrees to a placement in advance, he or she is entitled to the due process provisions of the Handicapped Act.

Shortly after the Fifth Circuit's decision in *S-1 v. Turlington*, the Sixth Circuit had occasion to consider the same issues. In a case called, *Kaelin v. Grubbs*,[24] a 15-year-old ninth grade boy who had been identified as Educable Mentally Handicapped since kindergarten was suspended following a dispute with a male teacher in which the student had refused to complete assigned work, destroyed one of the teacher's worksheets and his coffee cup, and, in attempting to leave the classroom, pushed, kicked, and hit the teacher. The Board ultimately expelled the student for the balance of the school year, without addressing the question of whether the student's disruptive behavior was related to his handicap.

The district court found for the student on grounds that the expulsion constituted an improper change of placement under P.L. 94-142 and Section 504. On appeal, the Sixth Circuit affirmed the lower court decision, specifically relying on the Fifth Circuit's earlier decision in *S-1 v. Turlington*, holding both that the expulsion of a handicapped student is a change of placement, and that the school's procedures failed to meet the procedural requirements of P.L. 94-142 for such a change.

All of the cases discussed so far primarily involved the issue of expulsion, although the suspension issue emerged obliquely as an acceptable disciplinary

22. *S-1 v. Turlington*, 635 F.2d at 348.
23. Ibid., at 353.
24. *Kaelin v. Grubbs*, 682 F.2d 595, (6th Cir. 1982).

device. However, a few cases have been brought to federal court on suspension issues alone.

Stanley v. School Administrative Unit Number 40 for Milford (1980)[25] is a case in which the school principal dealt with a very common disciplinary problem. Christian Stanley was a 15-year-old tenth grade student in New Hampshire who was classified as learning disabled. Between October and December 1979, he was suspended six times—once for use of profanity, and the rest for failure to come to detention. Prior to the last of these suspensions the school board held a hearing and suspended Christian for 21 days "for neglect or refusal to conform to the reasonable rules" of the high school, and ordered a reevaluation by the PPT as soon as possible.

The Stanleys brought suit seeking an injunction from this suspension, alleging that the boy's rights as outlined in the Handicapped Act, Section 504, and the 14th Amendment to the Constitution were being denied. Adopting the standard set forth in *Doe v. Koger* the court found that Christian's disruptive behavior (profanity, excessive tardiness, wandering the halls) was the result of serious family problems at home beginning about the time his disruptions began, and was not "caused to any substantial degree by his handicap or by his current placement program." Therefore, the suspension of this handicapped student was upheld. However, citing *Goss v. Lopez*, the court ordered that the suspension be terminated after 10 days.

An even more recent case found some educational value in suspension. In *Board of Education of the City of Peoria School District v. Illinois State Board of Education* (1982),[26] a 17-year-old high school junior was found to have made a seriously abusive verbal remark to a teacher, and was suspended for five days. The boy had been receiving resource special education for several years as a learning disabled student. The remark was made in his "mainstreamed" auto mechanics class in objecting to detention after class that day for acting with others to disrupt the class. An impartial hearing officer found that his act was not "perpetuated by his handicap," and upheld the suspension.

An appeal was made to the state superintendent of education on the theory that the suspension violated federal law in that it was made without regard to his handicapped status, nor was it proven that the student was dangerous. The state superintendent agreed, and reversed the hearing officer's decision, reinstating the boy in school. In an appeal by the local school board against the state school board, the federal district court reversed the decision of the state superintendent and reinstated the decision of the hearing officer, writing:

> It is vividly apparent that there was no expulsion from, or termination of, special education here, but rather a five-day disciplinary interruption for a flagrant offense, which was reasonably calculated to teach the "child," who obviously knew better, in an effort to avoid repetition and a consequent necessity for more drastic penalties.

25. *Stanley v. School Administrative Unit No. 40 for Milford*, 3 EHLR 552:390 (1980).

26. *Board of Education of the City of Peoria School District v. Illinois State Board of Education*, 531 F.Supp. 148 (C.D. Ill. 1982).

> Any theory that some harm of the brief interruption of classroom work could outweigh the educational value of the suspension here can only be recognized as pure imagination, or a feeble attempt at rationalization of a preconceived notion that handicapped students, whatever the degree of handicap, are free of classroom discipline. That is not the law.[27]

Summary of Major Points

Several points can be gleaned from these cases and the statutes which should be useful to school administrators.

When Disciplinary Expulsions Are Illegal

Expulsion is illegal when it denies a handicapped student his or her right to the appropriate education and due process described in the Handicapped Act. The courts have ruled that the following situations constitute a denial of those rights:

1. When there is a relationship between the student's handicap and the disruptive behavior.
2. When expulsion has the effect of changing a student's placement without the procedural safeguards outlined in the Act, including "pendency" where the student remains in the current placement until a resolution of due process proceedings is complete.
3. When expulsion has the effect of restricting the availability of alternative placements, thereby denying the student an education in the least restrictive environment.

When Disciplinary Expulsions Are Legal

Neither statutes nor case law specifically bar handicapped students from being expelled. In fact, two federal courts have explicitly ruled that expulsion is a proper disciplinary tool. A legal expulsion, however, cannot violate a student's rights as summarized above, and cannot result in a complete cessation of educational services.

Burden of Proof

A critical reevaluation must be made prior to expulsion to determine if there is a relationship between the student's misconduct and his or her handicap, and to reexamine student needs and alternative placements. The burden of investigating whether this relationship exists rests on the school officials. Neither the student nor the parents can be barred from suit merely for failing to raise this issue with school officials.

This determination may not be made by local school officials, but by a "specialized and knowledgeable group of persons" as described in the Handicapped Act.

When Disciplinary Suspension Is Legal

Suspension is viewed in a completely different light than expulsion. Most of the cases brought on expulsion have mentioned that suspension is an acceptable way to permit the student to remain in his or her current placement while allowing the school a short-term disciplinary exclusion. Cases brought specifically against suspension have consistently supported this tool as a legitimate and even valuable disciplinary technique.

When Disciplinary Suspension Is Illegal

Suspension is not legal when it is in-

27. Ibid., at 150.

definite, thereby having the effect of an expulsion. Suspension may not be used as a device to change a handicapped student's placement without the procedural safeguards provided in the Handicapped Act. The suspension of the handicapped is also subject to the same limitations that *Goss v. Lopez* requires for other students.

Related Points

Other Disciplinary Tools for the Handicapped

Both the statutes and the courts assert that handicapped students are not immune from a school's regular disciplinary procedures.[28] The primary tool recommended by the courts (aside from suspension) is the transfer of excessively disruptive students to more restrictive settings.[29] Other disciplinary procedures within the school day that are acceptable for nonhandicapped students are, to this point, acceptable for handicapped students.[30]

Exclusion of Handicapped Students with Communicable Diseases

In *Ely v. Howard County Board of Education* (1981) a retarded child was[31] identified as being a carrier of Hepatitis-B viral antigen, which has a high risk of infection if the so-called "barrier" is broken. When the principal learned of this situation, Oliver was excluded from public school as well as his special education class according to emergency procedures provided for in Maryland law which allow the bypass of normal notice and hearing procedures.

Since this child was a resident of a group home which did not provide services during the normal school day, this action also meant his exclusion from the group home and his return to his natural parents. Parents asked for an injunction to require continued school placement. Upon weighing the significant hardship to be faced by the boy with the potential risk to the school population, the court denied the motion for an injunction.

Disciplinary Suspension from Transportation

A school in New York suspended a student from school bus transportation for two days because of inappropriate behavior. Parent requested a due process hearing to challenge this suspension. When the school refused to grant this hearing, the parent appealed, holding that transportation suspension is a change in educational program which must be preceded by an impartial hearing.

A state court held that the student was not entitled to a formal hearing since a two-day transportation suspension is *de minimis* and cannot be considered a substantial change in placement.[32] By discussing the incident leading to suspension with the student, and by attempting to schedule informal conferences with the parent, the school provided the necessary due process safeguards.

Procedures for Handicapped Students Not Receiving Special Education

While there are no court cases to date

28. 45 C.F.R. §121a.513 (comment).
29. *Doe v. Koger*, *Stuart v. Nappi*.
30. *Peoria v. Illinois*.
31. *Ely v. Howard County Board of Education*, 3 EHLR 553:288. See also *New York State Association for Retarded Children v. Carey*, 612 F.2d 644 (1979).
32. *New York Case No. 10484*, 3 EHLR 502:257 (1981).

clarifying the status of handicapped students not receiving special education, there is some discussion that these students may be entitled to the same protections by virtue of Section 504.[33] The advancement of special education techniques and the expansion of the least restrictive environment concept will result in greater numbers of these students in regular classrooms in the future. Caution must be exercised to ensure that students whose improper conduct is caused solely by their handicap are not discriminated against solely because of their handicap.

Expulsion Due to Excessive Absences

In the absence of statute or federal case law on the question of removing a handicapped student's name from the rolls for nonattendance, a clue to how the courts might react can be found in a recent Minnesota decision. In a 1981 hearing before the Minnesota Commissioner of Education,[34] the Commissioner ruled that dropping a high school student's name from membership rolls because of excessive absences was equivalent to an expulsion (a significant change in a student's placement) before which the district should have conducted a hearing.

Conclusions

Handicapped students are clearly not exempt from the school's disciplinary procedures. The responsibility of the school administrator to maintain order in the school retains the support of the courts and the statutes in matters concerning handicapped as well as nonhandicapped students. However, recent court decisions have placed some additional restrictions on the tools used to maintain that order when disruptive students also happen to be handicapped. A clear trend has emerged asserting that where a relationship between misbehavior and a handicap can be shown, expulsion becomes a denial of the student's right to a free appropriate public education in the least restrictive environment. Consequently, the school principal would be well advised to select an alternate disciplinary tool.

Among the alternative tools from which the principal may choose is suspension. Suspension has been viewed by the courts as a useful tool for maintaining discipline. Through suspension a student may be excluded from school while still remaining in his or her current placement, thereby meeting the needs of both the school and the law. It must be remembered, however, that suspension of handicapped students is subject to the same procedural considerations *Goss v. Lopez* places on suspensions of non-handicapped students, including a 10-day maximum duration.

Principals who are concerned about handicapped students whose disruptions have become so severe or so frequent that a suspension would simply not be appropriate, can look to the *Stuart* case for another clue. The record of disruptions alone can be cause for the diagnostic and placement team to reevaluate the student's need and the appropriateness of his or her current placement. If the current placement is found to be inappropriate, the student can be moved to a more restrictive environment. If the behavioral concerns are outweighing the

33. Ekstrand, Richard E. "Discipline and the Handicapped Student." *Education and Urban Society*. February 1982, 14:2, 151-167.
34. *Ramsey County School District* (1981), 3 EHLR 503:304.

other goals on the IEP, it may also be in order to adjust the IEP to provide a more behavior-oriented program.

In spite of these options, the dilemma faced by principals in the discipline of handicapped students continues. If a handicapped student is seriously endangering the health, safety, or welfare of other students, it is the principal's responsibility to resolve the problem as quickly as possible. Expulsion appears to be prohibited. A change of placement to a more restrictive setting would seem appropriate, but unless the parents agree, this solution may be precluded until the completion of administrative and possibly judicial proceedings. Meanwhile, the student must remain in his or her current placement.

That leaves suspension, which is limited to 10 days. Several districts are now attempting to write into the IEPs of known disruptive students some consequences for misbehavior in advance of their disruptions. The hope is that should a serious problem occur, the resolution of that problem may be more quickly expedited since the parents have already signed the IEP. This concept remains to be tested in court.

Controversy surrounding the education of the handicapped continues to be intense and widespread. While a trend has been established in the area of expulsion and suspension, the rules may be altered as quickly as they were created. Changes in the Handicapped Act, its regulations, or a reinterpretation of the law by the Supreme Court could all alter our current understanding of discipline and the handicapped student.

7. The Principal as a Community Relations Specialist

In America, the schools belong to the people. Education in this country is a cooperative enterprise, with a shared cost and a shared responsibility for governance. Federal, state, and local taxes support the system of public schools; and decisions affecting the schools are made by elected representatives at all levels of government.

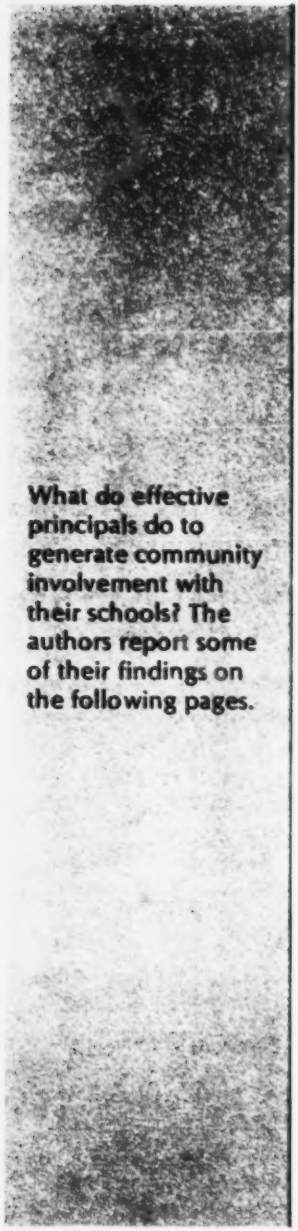
The majority of Americans have long supported the notion that what is good for education is good for the country, and that each citizen is by birthright entitled to a free (virtually) and appropriate education. In fact, the whole concept of democracy in America is based on an informed citizenry that is educated enough to participate in the affairs of government.

Because of the nature of our educational system, an effective school community relations program is an absolute necessity. The exchange of information with those who support schools through their tax dollars is more than a necessity; it is a duty. The articles selected for inclusion in this section provide a wealth of information for strengthening the school-community relationship.

Hines and McCleary use the results of a national survey of effective principals to discuss the role of the principal in community involvement. The authors stress that effective principals are aware of the concerns of the community and the problems of the school, and make a concerted effort to anticipate and control the conditions which call for community involvement. A summary of the procedures used by citizens and parents to initiate communication with schools is an interesting and useful feature of this article.

Roberta Sikula uses the "internal-external communications model" to describe an effective implementation process for a school-community relations program. She points out that a community relations program is more than a newsletter, and provides a detailed description of how administrators, teachers, students, and parents can be meaningfully involved in promoting the school and its programs.

Schools must provide "peepholes for their publics." This is John Wherry's message as he describes what people want to know about schools. While the Sikula article told principals how to communicate, the Wherry article tells them what to communicate. The author advises schools to communicate specifics and provides a comprehensive list of possible topics.



What do effective principals do to generate community involvement with their schools? The authors report some of their findings on the following pages.

The Role of the Principal in Community Involvement

Susan C. Hines
Lloyd E. McCleary

OPPORTUNITIES ABOUND for community members to become involved with the school. The principal is key in determining who is to be involved and what the nature of that involvement shall be. Yet principals reflect considerable ambiguity about their role and concern over the dramatic impact which certain forms of involvement have taken. Below are a few illustrations reported by high school principals during the past school year.

- A group of parents, dissatisfied with the win-loss season record of the football team, approached members of the board in an attempt to have the coaches dismissed.
- An assistant principal was physically assaulted by a student who was caught in possession of illegal drugs. In response there was a dramatic increase in parent attendance at the following PTSA rap sessions.
- A parent group with anti-busing sentiments staged a demonstration against integration efforts through busing and attempted to influence students to leave school. Although the princi-

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NASSP Bulletin, January 1980, pp. 67-75.

pal successfully ended the demonstration, several students were suspended and/or arrested. As a direct result of the incident a large faction of the PTA became hostile and non-supportive toward the principal.

- The school board unilaterally decided to change from a 10-12 year to a 9-12 year organizational plan for the school. No contingency time or money was provided the principal; thus, there was no orientation for students and parents to the new plan. Bitterness, loss of faculty morale, and student problems resulted.
- An appeal for a reassessment of the student evaluation procedure was made to the PTA and the district board of education by a parent group.
- A furor of community disapproval resulted from the board's decision to uphold a suspension of students who altered the "printer's copy" of the school newspaper as a prank.
- The school was able to offer one of the most comprehensive programs possible due to the efforts of an ad hoc citizens committee in investigating the school program and the merit of a six-hour day. Ironically, despite this citizen participation a tax levy was rejected by the electorate, forcing a reduction to a five-period day.
- The board of education task force recommended closure of a high school, but irate parents objected vociferously and planned a "Save the School" rally.
- Headline in a local paper: "Three To Be Charged as Mob Rule Overtakes Up-town High." This occurred on the last day of school.

Such incidents are critical for the principal. However, they only point to a much broader spectrum of community involvement which affects the administration of today's high schools. The remainder of this article deals with a range of issues, problems, and strategies used by effective principals. Their thinking and experience can contribute significantly to an understanding of the role of the principal in community involvement.

Orientation to the Role

Each principal develops sets of beliefs relative to the various areas of individual activities. Through study, professional relationships, and experience these beliefs become modified into operating principles which serve as an orientation to taking on the roles required. The principal faces the never-ending task of testing and modifying this orientation to make it as consistent, complete, and functional as possible. To the extent that other professionals and patrons share common, or at least compatible, orientations, the roles are well defined and relatively easy to fulfill. The recent (1977-78) National High School Principalship

Study conducted by NASSP revealed large areas of compatibility, but the area of community involvement was not one of these.

The relatively undefined nature of the belief patterns which underlie the role of the principal in community involvement can be explained in several ways. At least three conditions can be identified as contributing to an ambiguity about the principal's role in this important area:

1. Centralization versus decentralization of authority and responsibility within school districts has created variation in practice relative to the principal's role in the involvement of the community in the school.
2. With attempts at decentralization, a series of issues have developed over the amount of involvement versus traditional participation patterns.
3. Changing conditions, which often bring immediate and dramatic consequences (note the critical incidents cited in the opening section) result in pressures for principals to take a more proactive versus reactive stance toward community/school interaction.

With these three conditions the centrality of community involvement becomes more pressing as schools face a loss of support due to declining enrollments (now fewer than 38 percent of all American families have any children under age 16, thus any direct contact with schools), taxpayer revolts, demands for accountability, and a questioning of the utility of schooling in the resolution of the problems of youth.

Beliefs of Effective Principals

To assist principals and those who seek to support their efforts to improve the high schools, the Rockefeller Family Fund, with the cooperation of NASSP, is providing support for a project to clarify the role of the high school principal in community involvement. One aspect of that study deals with the orientation of principals to their role in community involvement.

In the National High School Principalship Study a large number of principals judged to be "effective" were identified, based upon a list of criteria provided to three categories of raters in each state of the country. This list of effective principals was used to survey belief patterns of effective principals in the first phase of the community involvement study. These data serve as a basis of this article.

Before presenting specific information, several generalizations can be made about the orientation of effective principals to their role in community involvement. Almost universal expression was given to the importance of genuine involvement versus a nominal involvement used primarily to achieve the school's purposes of sharing information and

acquiring support. School-initiated activities of the latter type, such as advisory councils, generally peter out over time—one principal reported a 35-member council dwindled to six members in five years and was abandoned this year. The "petering out principle" is well recognized and creates frustration when genuine involvement is not achieved.

A second generalization is that effective principals do not see community involvement as a discrete administrative task. Those who do express frustration with the demands of time and effort. Effective principals see community involvement as a planned, natural outcome of the primary tasks of school governance and improvement, curriculum, instruction, student activities, student conduct, guidance, and even staff evaluation and development. Often an annual school plan is developed encompassing each task area with community involvement as one dimension of each area.

Effective principals generally "read" their schools and communities well. They can list the major concerns of the community and their school's problems accurately in relation to what teachers, parents, and students report. They maintain selective contact with opinion leaders, keep a range of options open for involvement and for solutions, and are able to stay detached from emotional involvements with issues that might lead to precipitous actions.

The sample of effective principals reacted to a series of statements attributed to citizen involvement in school affairs. These principals agreed (67 percent versus 14 percent, with 19 percent ambivalent) that citizen involvement increased commitment and support; they disagreed that it resulted in increased confrontation or in drawn out cumbersome decision making. They agreed strongly (77 percent versus 13 percent, with 10 percent ambivalent) that teachers generally feel threatened by citizen participation. At the same time they did not support the view that sharing policy and decision power reduced the authority of the principal (64 percent versus 27 percent, with nine percent ambivalent).

The effective principals believe that citizen involvement creates a more positive public opinion about schools (67 percent versus 13 percent, with 10 percent ambivalent). They believe that citizens need to be involved in the evaluation of curriculum and programs (76 percent versus 12 percent, with 12 percent ambivalent) and that such involvement creates pressures for improvement at the building level (77 percent versus nine percent, with 14 percent ambivalent). They feel that such involvement results in increased learning achievement of students (44 percent versus 19 percent, with 37 percent ambivalent), that student conduct is improved (44 percent versus 19 percent, with 37 percent ambivalent), and that more innovation and program changes result (41 percent versus 28 percent, with 31 percent ambivalent).

The effective principals believe that federal programs have a positive effect upon citizen involvement (45 percent versus 26 percent, with 29 percent ambivalent). They also believe that the principal needs to take steps to intentionally involve ethnic and racial minorities (77 percent versus five percent, with 18 percent ambivalent). However, they believe that a vocal few can easily dominate (64 percent versus 19 percent, with 17 percent ambivalent) and that principals should not support open professional contract negotiations with citizen representation (47 percent versus 21 percent, with 32 percent ambivalent).

Problem Areas of Concern to Parents/Citizens

Principals were asked to rate the level of citizen/parent concern in each of the areas provided to them. It comes as a surprise that principals' reported contacts with parents reflected "use of drugs/dope" as the area of highest concern with "lack of discipline" following as the second major problem area. The 11th Annual Gallup Poll of the Public's Attitude Toward the Public Schools reports these same two areas of concern, but in reverse order.

The next three critical problems perceived by effective principals as concerns to parents, in order of mention, are drinking/alcoholism; crime/vandalism; and lack of proper financial support. In answer to the question, "What do you think are the biggest problems with which the public schools in this community must deal?" public school parent respondents to the Gallup Poll reported as most problematic the following areas: (1) lack of discipline; (2) use of dope/drugs; (3) lack of financial support; (4) difficulty in getting good teachers; and (5) poor curriculum/poor standards (see Table I).

In another question effective principals were requested to indicate their estimates of the negative impact of the same problem areas in the next four years. They identified "lack of financial support," "collective bargaining by teachers," "use of drugs/dope/alcohol," and "declining enrollments" as areas of highest impact with all predicted as likely to occur with more frequency in the next few years.

School/Community Communication Preferences

Effective communication is the primary means through which understanding of the school, its aims, and its problems is acquired by the involved parties. The argument for improved school-community communication is generally accepted by educators, parents, and significant others. In our survey we asked principals to report the frequency of citizen/parent initiated contacts with the school. Table II reports the results.

Table I
Parent/Citizen Concerns with the Schools

Problem area	High concern (%)	Moderate concern (%)	Little/no concern (%)	Gallup Poll Public School Parents (%)
Lack of discipline	32	50	18	26
Use of drugs/dope	54	40	6	14
Lack of proper financial support	17	41	42	12
Integration/ethnic, racial issues	7	27	66	7
Busing	14	20	66	
Poor curriculum/poor standards	8	35	57	11
Difficulty of getting good teachers	11	33	56	12
Large school/too many classes	6	25	69	6
Pupils' lack of interest	14	60	26	4
Parents' lack of interest	15	55	30	4
Teachers' lack of interest	8	49	43	4
Mismanagement of programs	–	19	81	2
Mismanagement of funds	3	10	87	
Crime/vandalism	25	48	27	3
Lack of proper facilities	12	32	56	2
Problems with the administration	1	26	73	2
Communication problems	5	44	51	2
Drinking/alcoholism	37	45	18	3
Declining enrollments	11	34	55	1
School board policies	9	34	57	2
Parent participation in decision making	1	35	64	1
Declining test scores/pupil achievement	13	50	37	
Instructional materials/book selection	2	21	77	
Collective bargaining by teachers	12	34	54	1

Table II
Procedures for Citizen/Parent-Initiated Communication

Citizen/Parent Initiated Contacts	Frequently used (%)	Occasionally used (%)	Seldom used (%)	Never used (%)
Phone calls	89	10	1	–
Individual conference	52	46	2	–
Parent visits to principal's office	45	49	6	–
Note/letter	22	57	21	–
PTA/PTO	29	25	20	26
Group decision meetings	8	37	39	16
Parent teacher conference	53	39	8	–
Questionnaire/surveys	6	32	49	13
Policy committees/advisory councils	29	45	22	4
School/parent coffees, luncheons	12	35	38	15
Schedule discussion sessions	8	35	39	18
Small-group meetings	13	44	35	8
Parent volunteers	18	38	32	12
Gossip, grapevine	33	35	20	12
Non-school social functions	21	39	29	11
School social functions, picnics, outings	13	40	38	9
Inservice meetings which include parents	12	29	41	18

Data identify the major ways parents initiate communication with the school. Phone calls by far exceed the others in frequency of use followed by parent-teacher conferences, report cards, individual conferences, parent visits, and the gossip/grapevine. These findings from the community involvement study give support to a similar study in which it was found that the two home-school communication channels considered most effective by parents are parent/teacher conferences and direct approach by phone or in person. Data from a study by Saxe, in Wisconsin, also confirm the findings reported in the table. An exception to the same study is that grapevine is ranked much higher in the current survey.

There is evidence to indicate that one-to-one communication is more effective than one-to-group communication and that verbal communication in person is preferable to printed matter. However, the most effective communication method is verbal communication followed up by printed/written matter in order to confirm, reinforce, and develop a consistent record.

In order to assist the principal in taking a more proactive stance toward community involvement, it is necessary to have available data which project issues and problems into the future. Useful information can be derived from such efforts as the Annual Gallup Poll of Public Opinion and from various futures surveys. Data about future conditions and issues were collected in the current community involvement study. Responses were requested of effective principals in terms of the next four years. Principals identified four major areas in which conditions and issues will require attention of citizens: (1) economic conditions, including teacher demands; (2) accountability and setting of priorities and objectives; (3) school program; and (4) legal/judicial actions.

Futures

With the economy marked with high inflation and high unemployment principals predict a dismal economic picture for schools. Almost 90 percent of the respondents think that difficulties in the national economy will force schools to initiate budget cutbacks within the next two years. This condition will be exacerbated by two major factors: (1) resistance will increase to the heavy use of property taxes to support local schools—89 percent indicate confidence in this occurrence; and (2) organized teacher associations will become more powerful at both the state and national levels. With the teaching staff becoming more organized, there will likely be greater demands for higher wages, and thus more conflict between the administration and the staff.

The effective principals project that a sizeable parent group will hinder efforts to offer additional programs designed to deal with or solve problems created through increases in drug use, crime, and family disintegration. All of these areas have been highlighted already in this paper as major problem concerns of both parents and administrators. More than two-thirds of the respondents suggest that schools will become more "basic," cutting back on individual options and alternatives. Principals must develop strategies to deal with the dilemmas created by forced cutbacks in expenditure, pressures from teacher groups for increased spending, and major problems such as drugs, vandalism, non-academic-minded students, undereducated adults, and the like.

More than 80 percent of the principals in the study feel that schools will be held accountable for specific, measurable results in the near future. Perhaps this problem will be resolved partially by parent/citizen participation in establishing objectives and priorities for schools. A majority of the respondents indicated that this is definitely a likely phenomenon. In all areas the public is seen as having a significant in-

fluence in the future administration of the public high school with the citizenry being supportive on some issues and hindering on others.

Conclusion

The high school principal is being impelled into community involvement activities. The effective principals are striving to anticipate and thus maintain some autonomy from and direction over conditions which call for community involvement. They seek to establish procedures to facilitate two-way exchange of information and ideas and to use the community as a means of enhancing school programs. The conflicts and ambiguities inherent in community/school relationships will not subside, and the principal's role needs to focus upon planning and problem-solving activities that involve parents, citizens, and agencies in the major task areas of the school. Simple public relations and support seeking approaches will not suffice over time.

There are some well-established communications procedures and involvement mechanisms which principals might review to arrive at their own best practice. Careful reflection upon one's own role orientation can be helpful to avoid "blind spots" and unconscious overemphasis upon certain approaches. Data provided here can be helpful in this regard. Each principal can become more proactive by identifying the major issues and conditions in the community which might impact the school, by developing strategies for community involvement in regard to them and by preparing citizen/parent groups to work cooperatively on them.

A Crucial Issue, School-Community Relations: A Systematic Approach

Roberta R. Sikula

A good school-community relations program needs systematic planning, advises this author, who describes an implementation procedure based on the theoretical internal-external communications model.

Schools over the years have been burdened with a multitude of societal pressures such as economic stress, student violence, drug abuse, teacher strikes, and the educational dilemma of declining achievement test results.

Initially, schools opted to internalize such problems with the hope that they would be resolved or would go away before they sparked public controversy. The problems not only remained but they have grown and appear to be breeding additional problems far beyond the resolution capabilities of schools and their trained personnel.

More and more school administrators are realizing that the shielding of educational and sociological issues that confront the schools out of fear of public reaction is a mistake. It is far more productive to keep the public informed, accept community input, and avoid the misconceptions and accusations which arise from a concerned but ill-informed school community.

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NASSP Bulletin, February 1981, pp. 55-62.

More Than a Newsletter

Schools which have embarked on school-community relations programs have found that good public relations involves more than sending a newsletter home and more than making the school principal primarily responsible for developing good ties with the community.

Starting a community relations program must be done with the same degree of researching, planning, training, implementation, and evaluation as utilized in the development of curriculum and educational programs. A good school-community relations program must be systematic with planned objectives, designated roles and responsibilities, implementation procedures, and evaluative mechanisms.

A dual focus is essential: Internal relations encompassing central administration, school administration, teachers, students, and parents are equally as important as the development of external relations with the surrounding community. One major flaw in the design of some school-community relation programs has been the failure to establish good internal relations prior to taking on the commitment of a comprehensive community relations program.

A comprehensive community relations program requires communication to many people. Communication —viewed by many people to be the essence of the administrative process —of course, is the heart of any good community relations program. It should provide input and output access to all participants in an organized fashion with internal and external communication responsibilities clearly defined.

The following theoretical model illustrates a system with clearly defined internal and external primary communication responsibilities.

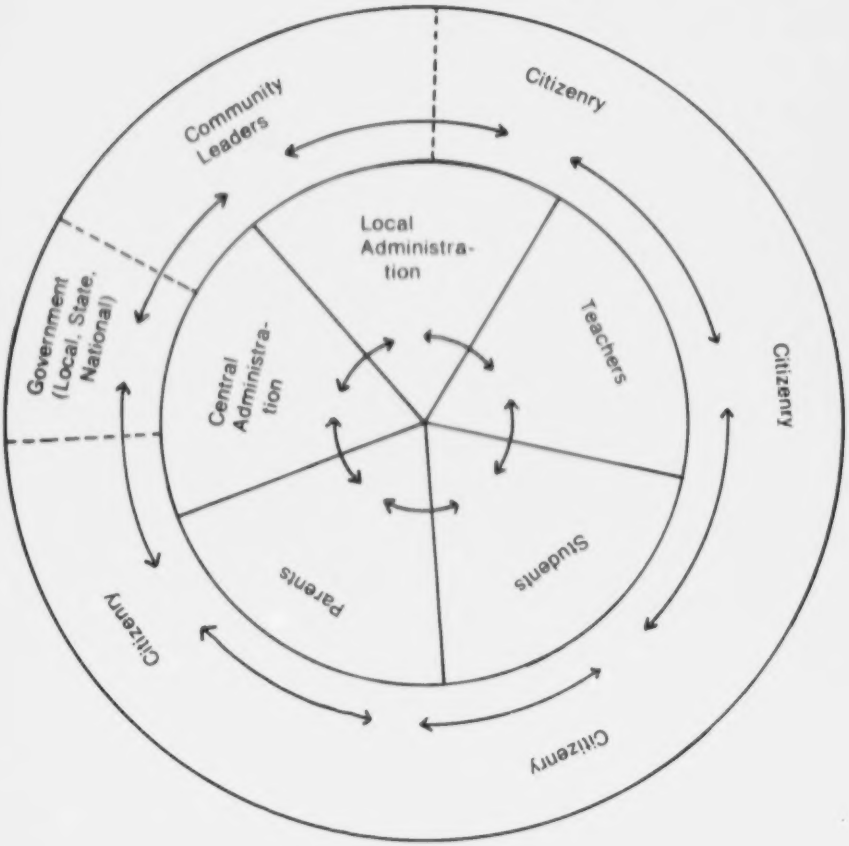
While the internal communication network should provide a continuous flow of input and output between central administrators, local administrators, teachers, students, and parents, the external system is far too vast for any single administrator or group of administrators to handle. The primary external communication responsibility could be assigned in a fashion depicted by the model. The central administration would allocate the largest portion of its public relations time to the development and maintenance of lines of communication with local, state, and national governmental officials. Smaller portions of time, although essential, would be devoted to community leaders and the citizenry. The building administration would externally concentrate on local community leaders and the local citizens. The primary communication focus of teachers, students, and parents would be the local citizenry.

Once the communication system is developed, role responsibilities and suggested community relation activities need to be designed and widely disseminated throughout the school system so that each participant understands how he fits into the designed community relations program. Suggested activities for major school

personnel, the implementers of the program, foster additional ideas as each becomes more accustomed to his public relations role and becomes more attuned to the needs of the local school public and systemwide publics.

The following module is an example of an implementation procedure based on the theoretical internal-external communication model.

Primary Communication Responsibilities: Internal and External Systems



A Systematic Implementation Procedure for School Community Relations Programs

Personnel	Primary Responsibility	Proposed Activities
A. *Central Administration* (superintendent, assistant superintendents, directors)	A1 To establish and maintain good relations with local, state and national political leaders	1. Appoint public relations director
	A2 To develop shared decision-making powers with local governmental officials	2. Develop systemwide speakers bureau
	A3 To positively affect systemwide school-community relations	3. Develop and implement decision-making workshop for school, local government, and community leaders
		4. Consult with other school superintendents on a regular basis to share community relations ideas
		5. Develop community profiles to aid school administrators in adapting to the changing school community
		6. Disseminate school board meeting minutes or highlights to school administrators, teachers, parents, community
B. *Local Administration* (principals, assistant principals, supervisors)	B1 To establish good public relations within immediate school community	1. Organize and meet monthly with a school educational program and policy council composed of parents and community leaders
	B2 To involve community leaders in school activities and decision-making process	
	B3 To encourage parental involvement at the instructional, extracurricular, and decision-making levels	2. Develop and distribute throughout school community a weekly or bi-monthly school newsletter

Personnel	Primary Responsibility	Proposed Activities
		3. Develop a system of block leaders to aid in the distribution and collection of school-related materials
		4. Involve parents in school-sponsored activities
		5. Make school facilities available to community groups and organizations
		6. Attend school board meetings
		7. Submit news releases and photos to local newspapers regarding school activities
		8. Develop student handbook and distribute to students, teachers, and parents
C. *Classroom Teachers*	C1 To encourage students to share school activities and experiences with parents	1. Coordinate the student development and distribution of bi-semester classroom newsletter
	C2 To establish open communication with parents of assigned students	2. Develop yearly instructional module and discuss with parents on a small-group basis
	C3 To assist in the establishment of good community relations at the local level	3. Involve parents in planned tutorial and instructional programs

Personnel	Primary Responsibility	Proposed Activities
		4. Participate in school related community events, e.g., PTO, band/ athletic boosters, community-based professional organizations, award banquets 5. Conduct home visits and maintain parental contact with phone calls, written notes, and conferences.
D. *Students*	D1 To disseminate to parents accurate, appropriate information regarding the school D2 To become involved in school-sponsored activities and related community events D3 To assist in the establishment of good community relations at the local level	1. Share all distributed school literature and other informational materials with parents 2. Participate in school-sponsored community service projects 3. Participate at the high school level in educational and extracurricular program planning, policy adoption, and in decisions concerning allocation of school funds 4. Participate in community organizations and local events
E. *Parents*	E1 To participate in appropriate school-sponsored events and decision-making activities E2 To provide input to local and central administrators	1. Participate on school advisory councils, tutorial programs, classroom instructional activities, field trips, etc.

Personnel	Primary Responsibility	Proposed Activities
	regarding community concerns and suggestions for improved school operations and programming	2. Participate in school-community activities; e.g., booster clubs, PTO, plays, banquets
	E3 To assist in the positive representation of the school to local leaders and the community	3. Participate in school board meetings
		4. Participate in local governmental meetings concerning school-related decisions

It is beyond the scope of this article to address all facets of a comprehensive community relations program. However, major points of consideration can be highlighted:

- Avoid developing community relation activities solely from the perspective of keeping the public informed as opposed to activities which, for example, enlist parental input and voluntary physical support.
- Develop a comprehensive community relations program which enlists support from: a) those that are powerful, visible, and organized (e.g., city council); b) those that have power and organization but little visibility (e.g., people with money); c) those with organization and visibility but little money (e.g., PTA); d) the disenfranchised groups (e.g., blacks, latinos, economically deprived). (Estes, pp. 29-30).
- Encourage citizen participation and utilize at three distinct levels: a) collecting and assembling information; b) classifying and interpreting; and c) making judgements and recommendations. (Sumption and Engstrom, p. 146).
- Research and survey the district to develop community profiles which help ensure a community-relations program adaptive to the often changing needs of the local communities.
- Provide an evaluative mechanism to assess the merits of the on-going public relations program. Examples of evaluative criteria to include are: a) Is the district committed to a good public relations program? b) Is the community relations plan measureable? c) Are key publics involved? d) Are public relations activities varied? e) Does everyone understand and are they prepared to handle their public relations role? (Jones, p. 92).

The evolution of institutions of education began with schools in community homes or one-room school

houses where education was under the auspices of a "schoolmarm," who served a multiplicity of roles as teacher, administrator, and counselor. The schoolmarm or master was dependent upon the community for her/his livelihood and needed community support in order to maintain the teaching position. Today's education is depicted by a rather sophisticated system of educational and plant management and instructional delivery.

As schools have moved toward a somewhat autonomous existence regarding their surrounding communities, many have discovered that they need community support to function effectively and progressively. They are now in a position to re-establish a relationship which, in fact, spawned their birth. Schools are not autonomous entities. They need a full support system and that support system lies within and outside the school walls.

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What's Going on at School? Specific Information Can Shape Accurate Attitudes

John H. Wherry

If you have ever wondered what kinds of information to tell your school publics, wonder no further—here is a lengthy list of suggestions along with some ideas on how to gather more.

"What we really need are peepholes for parents," someone interrupted expressing the entire concept neatly.

The occasion was a "school family" meeting including everyone who worked at the school from secretaries and custodians to food service personnel, librarians, teachers, and the principal. The staff was considering ways to improve their school's public relations program.

The specific topic under discussion was how to improve communications with parents. But no matter what public the school staff might have been talking about—from parents and students and businessmen and civic leaders to the news media, nonparent taxpayers, senior citizens, or school staff members themselves—the concept is still valid. To improve school public relations we need to provide "peepholes" into our schools.

In this article, as we consider what we should be communicating to those groups or "publics" who have an interest in schools, the important thing

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to keep in mind is that our basic subject must be: *what's going on at school.* Surveys nationally and locally show that that is what people most want to know about. They want peepholes into their schools. They want to know what's going on there.

What Employees Want

A simple questionnaire circulated among school employees will produce quick answers to the first question—probably revealing surprising consensus as well as a list of isolated topics of real concern to particular employee groups. Such surveys among various employees of several midwestern school districts in the past produced general agreement on these topics for school communications (listed in order of priority):

1. Class offerings and what students are learning—curriculum.
2. Specialized instructional programs and special school projects.
3. The importance of parent involvement in schools including how parents can and are helping.
4. Information on school functions and activities.
5. Teaching techniques and innovations being used.
6. How tax money is being spent and information about school funding.
7. School board and individual school policies.
8. Duties, requirements, and qualifications of various school personnel.
9. School needs and problems.
10. The real effect schools have on the community including student follow-up reports and the benefits of education to people throughout the community.

The specific communication needs of various groups revealed in the surveys included the following samples:

- Student behavior on school buses.
- An adult education division of the board of education exists! Many in the community don't know adult classes are available.
- The local vocational school is part of the public school system.
- Ten of the 30 children in our classroom went to the dentist sooner than they would have because of the dental examination cards the nurse distributed as part of the school's health program.
- Our class is learning to appreciate our heritage by bringing antiques to school.
- The special programs in our district in physical education, art, music, library, science, and career education are appreciated by both children and teachers.
- Our schools are busy all summer long!

Specifics, Specifics . . .

We also know that *specific information* about educational programs and activities at specific school buildings is more interesting, more important, and more believable than general information summarizing statistics, goals, and philosophies of programs in schools throughout the

district. A story about one particular day's class activities in the "Consumer Mathematics" class is more interesting and more valuable to good school public relations than the specially prepared "School District Annual Report."

Not only are specifics more interesting, but also research tells us that public attitudes are formulated from bits of specific information. And, after all, it is positive public attitudes that we are trying to earn through our public relations programs. Advertisers spend millions on network television commercials convincing us to buy this brand of toothpaste or that brand of pain reliever by showing us specific examples of how the product worked with people like ourselves.

And even more effective in attitude formation is specific information gained through firsthand personal experience. The slick commercials invite us in for a test drive. We find free samples of detergent and mouthwash hanging from our doorknob. "Try it," we are told. "You'll like it."

We can profit in our school public relations programs by following the example of those who back their knowledge of effective communications techniques with big money. In fact, it is even easy to provide our school publics with the kinds of specific information and personal experiences they need and want to formulate accurate attitudes about their schools.

Proceeding from the basic subject of "What's Going on at School" and keeping in mind the importance of specific information as we provide peepholes into our schools, we can get even more guidance about what to communicate by considering two basic questions:

- As school employees, what do *we* think is important for our publics to know?
- What do our various publics say *they* want to know?

What Various Publics Want

Determining what the various publics who have an interest in schools want to know is also quite simple. A brief questionnaire is really all that's needed although a question inquiring about school topics of interest might be also included in a more formal community survey. Students can be quickly surveyed nearly anytime right at school. Parent surveys can be included in school newsletters. Evaluation forms distributed at open house or other school programs can include the question: "What would you like to know more about concerning your school?" Even random phone calls made by a school clerk to 15 or 20 parents will elicit valuable information. Businessmen can be surveyed at civic club meetings, senior citizens at retirement homes, etc. It's really quite simple and the list of topics is most valuable when developed from within a particular school attendance area.

While the list of topics in which school publics are interested varies from public to public, as do their priorities, there is significant agreement. Topics stressed by various publics

in several midwestern school districts are listed below:

1. How students are progressing at school.
2. What the teachers are like—appearance, attitude, preparation.
3. The school curriculum—classes offered, skills being developed, and goals.
4. Teaching methods and materials being used.
5. Special instructional services being offered including enrichment, learning aids, individualized instruction, and remedial programs.
6. The relationship between teachers and students—school atmosphere.
7. School policies, rules and regulations.
8. How tax money is being used.
9. How parents, businessmen, retired people, and others in the community can help schools help students.
10. The status of student discipline and what is being done to improve it.

(Note the similarity between the topics school employees say they want to communicate and the topics the various publics say they want to know about.)

The special concerns of specific publics also come to light very quickly through simple questionnaires. Students tend to be most interested in their own progress, parents in the progress of their children. For non-parents, school discipline and costs are quite important. Businessmen are concerned about salable skills acquired by school graduates. Again, the information is surprisingly easy to obtain and every item on the list can be the stimulus for several interesting items to communicate about schools.

A Checklist of Stories To Communicate

We have stressed that specific information is the most valuable in any school public relations program. So let's examine some specific story possibilities that exist in nearly any school. The story ideas are all real. They have all been used in real school districts. They are included here to stimulate ideas for similar stories in any individual school or district.

Keep in mind that there are many ways of communicating these stories. Personal experience through school visits of various kinds is probably best. School newsletters and newspapers can help. Radio and TV news stories or public service announcements are appropriate for some. Speeches to organizations of various kinds are effective. Special topic publications are sometimes best. And weekly and daily newspapers are always looking for news.

So take a pencil. Consider your specific situation as you read through the list and check off the ideas you might adapt.

- ☐ Middle school adds host and hostess club
- ☐ High school enrollment up 200 this year
- ☐ Parent and family life education classes begin

- ☐ New American history course stresses inquiry approach
- ☐ Evening adult education classes offered by vocational school
- ☐ Transportation department summer maintenance program extensive
- ☐ Junior high food service department wins gourmet contest
- ☐ School lunch prices increase
- ☐ Student health problems often serious
- ☐ "Modern America" class begins at junior high school
- ☐ Music education builds important skills and appreciation
- ☐ Introductory Physical Science program stimulates student interest
- ☐ Counselors responsible for variety of duties
- ☐ Homebound teaching program takes school to ailing students
- ☐ Here are some ways to help your child in music
- ☐ Here's how to help your child in modern math
- ☐ Tips on helping students study
- ☐ What to do if your child has trouble with a teacher
- ☐ Expanded special education program serves many exceptionalities
- ☐ It's important to attend open house
- ☐ New type language labs installed in secondary schools
- ☐ High school stage band to university clinic
- ☐ Schools take hard stand on student disorders
- ☐ Enrollment is open for evening school program for high school dropouts
- ☐ Tips from teachers for buying toys, games for Christmas
- ☐ Schools stress need for feedback from the public
- ☐ Some facts you should know about your schools
- ☐ Math labs represent new approach in secondary schools
- ☐ Counselor says what the student thinks of himself is important
- ☐ School nurse gives student health tips
- ☐ Teachers cite reasons extracurricular activities are important
- ☐ Videotape used for school inservice programs
- ☐ Teachers suggest ways to improve reading skills
- ☐ Schools cooperate in teacher education programs
- ☐ Teachers view education in the 1980s
- ☐ Principal suggests that youngsters become what we make of them
- ☐ Cooperative school-business education programs helpful
- ☐ Out-of-town educators visit our schools to study local programs
- ☐ Computer grade reporting helps teachers and students
- ☐ Home economics curriculum now includes Bachelor Living
- ☐ What do custodians do?
- ☐ High school student-student tutoring program proves successful
- ☐ Test yourself on these school facts
- ☐ Substitute teachers are professionals too
- ☐ Teachers say with a little planning summer can be exciting for students
- ☐ Teachers encourage students to

consider summer school
- ☐ Students learn all phases of construction industry in World of Construction classes
- ☐ Parents have big influence on the success of teachers at school
- ☐ It's important to meet and know your child's teacher
- ☐ High school food study stimulates unusual project
- ☐ Middle school students launch model rockets
- ☐ Cutting boards out in new industrial education program
- ☐ Visiting composer conducts choral workshop
- ☐ Intensive Learning Program emphasizes reading
- ☐ Students say "no" but hope you'll attend open house
- ☐ Recycling center gives students realistic work experience
- ☐ Spanish classes produce monthly Spanish newspaper
- ☐ Student letter writing project produces unexpected results
- ☐ Winter vacation is a good time for family fun, teachers suggest
- ☐ Books can cure those winter vacation blues
- ☐ "Work is honorable" concept taught in career education program
- ☐ Students learn about occupations through regular classwork
- ☐ Students encouraged to skip school to go to work with parent
- ☐ Hearing screening program identifies student hearing problems
- ☐ After-school vocational exploratory program popular
- ☐ Look what eighth graders are studying in math today
- ☐ History comes alive for students as teacher wears Civil War uniform
- ☐ School district planetarium stimulates interest in science
- ☐ Purpose of school district career education program explained
- ☐ Art students experts in tie-dying
- ☐ Students, teachers trade places at junior high
- ☐ Secondary school reading labs offer new approach to reading instruction
- ☐ American government class students investigate school "murder"
- ☐ Volunteer parents are busy at junior high
- ☐ Boys study home economics, too
- ☐ Here's what beginning clothing students are studying
- ☐ Can your children sew on a button?
- ☐ Junior high speech class presents puppet play for elderly
- ☐ Students doing research for middle school Mexican-American festival
- ☐ Most local school bus drivers are women
- ☐ Science fair projects many and varied
- ☐ High school business education students learn from model company office
- ☐ School secretary is the voice of the school
- ☐ Business education classes working to fill job demand
- ☐ Juan Vasquez is state arc welding champion
- ☐ Industrial education classes building paper bridges

- ☐ Science ideas carnival stimulates teacher interest
- ☐ Mealworm attending high school science classes
- ☐ School field trip to airline reveals job requirements
- ☐ Schools ask parents to exert some control on end-of-year school activities
- ☐ Vocations Day popular with students
- ☐ Hobby Day a follow-up to Vocations Day
- ☐ Many learning aids available in American government classes
- ☐ Social studies textbook selection process revealed
- ☐ New "Sports Literature" course popular with students
- ☐ International school crossing signs still mean stop
- ☐ Librarian suggests books to ease long summer hours
- ☐ Many locations to obtain books during the summer
- ☐ Piano lessons on silent electronic pianos offered in summer school
- ☐ It's summer but maintenance crews are already getting boilers ready for winter
- ☐ School's out and maintenance crews are sealing wood floors
- ☐ Major school maintenance projects carried out during the summer
- ☐ School citizens' group studies high school problems
- ☐ Citizens' group says school finance problems real
- ☐ Teacher-produced curriculum guides keep secretarial staff busy during summer
- ☐ Statistics on achievements in our public schools
- ☐ In-school Neighborhood Youth Corps summer programs help students learn about jobs
- ☐ Surveying instruments used in new math course
- ☐ Mathemetrics course involves students through many activities
- ☐ Standardized test scores show school strengths and weaknesses
- ☐ Immunizations required for students entering school in state for first-time
- ☐ Students study school financing system, recommend changes
- ☐ People from all walks of life take adult education courses at district's vocational school
- ☐ Babysitting popular course among students in adult education evening classes
- ☐ New school crossing signs use symbols rather than words
- ☐ Legal meaning of new school crossing signs reviewed
- ☐ More than 50 new classes offered in district's secondary schools this year
- ☐ Students given hands-on experience in science
- ☐ Students, rather than teachers, now demonstrating scientific facts
- ☐ Students find good English important in science classes, too
- ☐ High school industrial education area renovated
- ☐ Teacher finds ways to make English classes fun
- ☐ English teacher not "down" on young people today
- ☐ Printing courses use wide variety of equipment in training

- ☐ High placement rate for graduates of graphic arts course
- ☐ Parents help each other by sharing ideas in family life discussion groups
- ☐ Master chef speaks to boys' chef class at junior high
- ☐ Parents visit Spanish class at middle school
- ☐ Parents enthusiastic about their visit to Spanish class
- ☐ School classroom at local hospital serves many students
- ☐ Hospital school instructor enjoys her work
- ☐ Counselors say it's important for students to feel successful
- ☐ Measurement emphasized in a new mathemetrics course
- ☐ Exciting reading materials make remedial instruction fun
- ☐ School officials ask public help in cutting theft and vandalism in schools
- ☐ Preparation for lunch starts at 6 a.m. in school cafeterias
- ☐ Many nine week courses offered at new high school
- ☐ Middle school students release helium balloons with messages attached
- ☐ School district electronics repairman enjoys his work
- ☐ Power Mechanics class studies Wankel engine
- ☐ Teachers working to prepare courses for new schools
- ☐ Christmas party for paralyzed student
- ☐ Nursing assistant program available to public
- ☐ Auto body repair student recommends course to others
- ☐ High school students learn scuba diving
- ☐ Middle school concept exciting
- ☐ Exposure to wider variety of courses offered in middle school
- ☐ School district carpenters making movable lecturns
- ☐ School district carpenters' work varied
- ☐ Students publish newspaper as part of communications study
- ☐ Russian class fun and interesting at high school
- ☐ Junior high students build model Apollo command module
- ☐ High school journalism students publish history of community
- ☐ Unorthodox librarian keeps library crowded with students
- ☐ High school students give up hall to work with mentally retarded
- ☐ Family living students study budgeting
- ☐ Principal meets with students to find out what concerns them
- ☐ Vocational school cosmetology course is difficult, student says
- ☐ Band students sponsor lollipop concert for elementary students
- ☐ If you've traveled in foreign countries, students ask you to tell them about it
- ☐ Physical education teacher says students in good physical shape have better mental outlook
- ☐ Total of 267 new courses offered at new high schools
- ☐ Student needs considered in developing new high school classes
- ☐ School parent organization sponsors Teacher Appreciation Day
- ☐ School workshop trains volunteer reading helpers

- ☐ School bus driver tells about her job
- ☐ Transportation department wins awards for safety, maintenance, and efficiency
- ☐ Even school bus floors are waxed!
- ☐ Learning disabilities program offers help for many students
- ☐ Development of educational program at new high school an interesting story
- ☐ Custodians go to class
- ☐ Computer programming course helps kids "turn on" to math
- ☐ Teachers suggest ways parents can help high school students

To Summarize

There are several important points to keep in mind as we consider what we should be communicating to our various publics through our school public relations program:

- What we are trying to do is provide "peepholes" into our schools.
- Our basic subject must be "What's going on at school."
- Specific information is more valuable than general information.
- Information gained by our publics firsthand is most effective in attitude formation.
- We must consider both what schools want their publics to know and what our publics want to know about schools. Simple questionnaires can provide the information.
- Any school has many stories worth communicating, and there are many means of telling the stories we have to tell.

8. On Being an Effective Secondary School Principal

In 1982, NASSP published *The Effective Principal*, a summary of research documenting the central role that the principalship plays in the fabric and climate of the school. In that publication, Persell and Cookson identified nine leadership characteristics or behaviors gleaned from more than 75 research studies and reports that have been continually associated with the operation of effective schools.

Those characteristics or behaviors displayed by successful principals include: demonstration of a commitment to academic goals; creation of a climate of high expectations; functioning as an instructional leader; exhibition of a forceful, dynamic leadership style; meaningful consultation/involvement of other persons; implementation of order and discipline; garnering of needed resources; effective management/use of time; and evaluation of organizational productivity.

These characteristics of an effective principalship have in reality been the central theme of the various sections of this book of readings. Only through in-depth knowledge of and active involvement in curriculum and instruction, school/community relations, student personnel matters, fiscal management, staff personnel decisions, and organization for and structure of effective educational institutions can a principal hope to satisfactorily meet the growing expectations our society has for schools and schooling.

Thomas J. Curran suggests that the key to developing an effective secondary school is self-appraisal. In his article, Curran offers 11 evaluative criteria by which principals can judge the productivity levels of their schools. The basic conclusion reached by Curran is that effective schools are those that are purposefully organized to achieve identified goals.

Harold Dodge suggests that, while setting goals and developing plans of action are not easily accomplished, the challenge is not insurmountable. He offers five suggestions to help principals take the necessary actions to pursue appropriate goals leading to effective schooling.

Serow and Jackson state that effective schooling is more than just those things that can be measured by standardized achievement tests. They contend that test results may not even be the most important indicator of what goes on in a school.

Truly effective schools are those that encourage emotional, physical, social, as well as academic growth. Serow and Jackson remind principals that students are individuals requiring unique treatment if each is to reach his or her full potential as a human being.

Joseph Rogus provides a checklist for use in strengthening school performance. While he suggests that the checklist can be used either in a directive or participative approach to school improvement, Rogus argues that mutual agreement between administration and teachers as to goals to pursue will yield an enormous payoff.

In this section's concluding article, Sapone summarizes data obtained from school members, superintendents, teachers, and principals who were asked to rank the characteristics of effective schools. Sapone states that one of the most important findings of his investigation is almost universal agreement that schools must have a strong principal. However, despite this basic point of agreement, the groups surveyed differed on several factors relating to what is important in achieving an effective school. Sapone addresses these differences and ends by suggesting that if, in fact, the principal is the backbone of a good school, he or she must be given authority and support commensurate with the job.

Reference

The Effective Principal: A Research Summary. Reston, Va.: National Association of Secondary School Principals, 1982.

Characteristics of the Effective School—A Starting Point for Self-Evaluation

Is your school effective? This writer discusses 11 characteristics that he believes are essential to such a school.

By Thomas J. Curran

Public secondary education has been the object of a number of recent studies. Some seek solutions, others deny that there are problems.

And statistics, polls, tests, and opinions will continue to measure the effectiveness of our schools. Certainly, there is a need to evaluate the services offered by our schools. However, educators should also evaluate their own effectiveness.

The following 11 characteristics of an effective school are offered as a starting point toward developing a self-evaluation process for your school.

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Does Your School Have:

1. A Principal Who Is an Active Leader?

Principals must be visible to their school family—students, teachers, parents, and community members. They must be visible to these groups in order to determine their needs and seek appropriate methods of providing for those needs. The principal must be knowledgeable in school affairs, especially in the areas of school curriculum, teacher performance, and student growth.

Leadership is the ultimate necessity for any successful group, organization, or endeavor. Leadership may be regarded as a series of functions that: build and maintain the group, get the job done, help the group feel comfortable and at ease, help to set and clearly

NASSP Bulletin, October 1983, pp. 71-73.

define objectives, and cooperatively work toward these objectives.[1]

2. A Positive School Climate?

It is the principal's function to develop or maintain a positive school climate where teachers can work and students can learn. Because individuals and groups differ in their values and perceptions of what is valuable and meaningful, they also differ in their descriptions of what climate conditions or outcomes are most important.

Leadership for climate improvement requires skills in responding to concerns, expectations, and existing conditions or initiating new expectations and conditions. The ultimate purpose is the improvement of learning. The principal, more than any other individual, is responsible for a school's climate. The teacher has the same responsibility and accountability in the classroom.[2]

3. Agreeable and Workable Discipline Policies and Procedures?

Student discipline has been the number one public concern for the past several years. We all realize that effective discipline policies and procedures must be firm, fair, and consistent; but such policies and procedures also must be developed, communicated, and implemented by the entire school family.

Student rights and responsibilities must be recognized and clearly stated in the school's discipline code. Teachers must be allowed to exercise authority in a firm, fair, and consistent manner. The principal must include the school family members and seek their support in order to develop or maintain effective discipline policies and procedures.

Communicating such policies and procedures is essential. A knowledge of school law is imperative.

4. Teachers Who Have High Expectations for Students?

The principal must consider the teacher's attitude, training, motivation, contract, development, evaluation, involvement, morale, stability, methods, style, role, and rapport with students and other members of the school family.

Schools that attain high levels of student outcome have faculty members who accept the basic objective of the school; have a strong commitment to high expectations for students and for student achievement; and accept responsibility for achieving student goals.

5. Parents Who Are Involved in the Educational Process?

Parents must be encouraged to take an active role in the education of their youngsters. Parents must be recognized as a positive asset. The key here is communication.

6. Productive Methods of Evaluating the Curriculum?

The school curriculum should not be conceived as a fixed subject matter catalog if the rising generation is to build and maintain a better future for themselves. This does not mean that the curriculum should bend to every trend;

1. Michael Giammatteo and Dolores Giammatteo, *Forces on Leadership* (Reston, Va.: NASSP, 1981), p. 2.
2. Edgar A. Kelley, *Improving School Climate* (Reston, Va.: NASSP, 1980), p. 33.

however, it does mean that it must be evaluated frequently.

School personnel must also realize that effective education—providing for students' individual needs—can extend beyond the boundaries of the school campus. Business and industry can provide educational experiences for students with various levels of ability. Such community resources can be tapped to provide for a variety of student needs.

7. Efficient Methods of Evaluating Teacher Performance?

The principal must ensure that all teachers are teaching well. The principal must encourage teachers to exercise their strengths and overcome their weaknesses. This is a tall order, but it also is an increasingly necessary administrative function.

8. Consequential Methods of Developing and Evaluating Student Growth?

Too many students float through the secondary school with no direction, no concept of career opportunities, and no desire to pursue their abilities or interests. Parents and other members of the school family must take the initiative to encourage students to achieve. Teachers must accept the fact that each student learns at a different rate and has a unique learning style. Teaching methods, supplementary materials, and individualized teaching for diverse student needs are essential.

9. A Realistic Philosophy of Education?

The school family must recognize the diversified needs of students and offer a varied and flexible curriculum to provide for those needs. The philosophy must encourage the school family to be responsible for providing students with an education that will enable them to function to their utmost ability in a variety of areas.

10. An Extensive and Adequate Student Activities Program?

Such activities as school government, clubs, school publications, honor groups, and athletics can contribute significantly to the total school climate. The student activities program is just as much a part of the school's curriculum as are the formal courses.

11. Significant Student Services?

Perhaps the most significant student service is the guidance function. Counselors are educational professionals whose specialty is counseling. People need other people who will listen to them, help them discover themselves, and lend them an opportunity to explore new options.

Conclusion

In recent years this nation has witnessed an interest in its educational system that is without parallel. Although there has been marked disagreement about educational aims and the methods for achieving those aims, there is general agreement on the need for improving the effectiveness and efficiency of our educational system.

The effective school is a purposeful organization whose members seek, through common effort, to achieve established goals. School systems are composed of people, and people will determine whether the system succeeds or stagnates, serves its clients effectively or squanders its limited resources.

Determining Appropriate Goals For Secondary Schools: The Precursor of Effectiveness

Principals not only must be informed and active, they must be able to synthesize appropriate goals for their schools if those schools are to be effective.

By Harold Dodge

Public education has been inundated recently with printed matter devoted to its health and general state of affairs. Not only are present programs and services under the microscopic eye of the public, but the basic assumptions that public schools are needed for the welfare of youngsters and society is also being questioned.

Although there are many ways to interpret these concerns, the uncertainty that prevails in both the private and the public sector suggests that public schools are lodged squarely in the center of a major societal transformation. Given this perspective, it is clear that the goals of secondary schools will need to be realigned with the needs of a society in transition from an industrial era to an information age. It is equally clear that efforts to assess school effectiveness must be based on the goals deemed appropriate for secondary schools during and after the transition.

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Some Basic Considerations

There are certain distinctive conditions which must be considered by the public as well as professional educators before appropriate goals can be determined for secondary schools. Each has the potential for complicating efforts to define such goals, because each one introduces a factor which has not been reckoned with previously. These complicating factors include:

NASSP Bulletin, October 1983, pp. 16-19.

1. *Declining Resources.* Fiscal and human resources in education have been declining steadily for the last several years. Following Proposition 13 in California, as many as 26 other state legislatures deliberated on tax or spending limitation proposals. The precise impact of these actions is as yet unknown, but it is clear that numerous school services and programs may be cut back or eliminated completely by reduced funding. Older methods of improving schooling by adding personnel or programs will no longer suffice. Rather, careful decisions will have to be made about what to include in the secondary curriculum and how the curriculum can be delivered most efficiently and effectively.
2. *Demographic Changes.* The population of the United States will increase during the next decade, but the traditional age group of pupils attending public schools (6 to 17 years) will decrease until the mid-1980s. During this period, secondary schools will have to find ways to adapt programs and facilities to accommodate a fluctuating population. Further, a decline in the number of students entering teacher preparation programs suggests that the median age of the teacher will be higher than in previous years. This will have financial implications for schools in terms of the way resources are used. Salaries will be higher and staff development programs will be needed to keep knowledge and practice current.
3. *Resource Competition.* Declining financial resources will be further strained by competing demands of special interest groups and advocates of different educational models. Special student populations already seek additional funds for their programs, and disagreement among advocates of fundamental education programs, fine arts programs, and high technology programs has already resulted in fierce competition for available funds.
4. *Unsettled Definitions of an Appropriate Education.* There are some serious questions about the extent to which public schools can carry the programmatic and financial responsibilities of providing an "appropriate" education for special student populations. It seems that an education for all handicapped, disadvantaged, bilingual youngsters that is based on an equal outcomes approach to equity will require larger per-pupil expenditures and lower pupil-teacher ratios than is required for other students. Hence, the determination of appropriate goals for secondary education turns on the meaning of an appropriate education for all students.
5. *Private Sector Competition for Public School Dollars.* The currently popular political debate about tuition tax credits will likely intensify in the 1980s. Congressional action and campaign rhetoric will keep the issue visible at the national level and provide an additional threat to funds for public education. Should tuition tax credits become a reality, goals may suffer from requisite losses in programs and personnel, and the reduction in state control of most of secondary education will interfere with the ability to establish goals as well

as undermine efforts to monitor school performance at an aggregate level.

A Challenge for Principals

As these five factors indicate, secondary principals face a tremendous challenge in the 1980s. That challenge revolves around recognizing, analyzing, and helping the public to understand the multiple dilemmas affecting school goals and school effectiveness. Social changes and a depressed economy present awesome barriers to the determination of appropriate goals for secondary education, but the challenge can be met by the concerted efforts of informed and active principals.

In order to do so, principals may be required to adopt a special set of conceptual lenses and to use their knowledge of the schooling process. These lenses and skills should help them clarify the missions of public secondary schools and assess the most satisfactory and realistic way of achieving them. Changing goals and declining resources will affect the structure, technology, practices, and norms of the school.

Keeping the following facts and suggestions in mind should help principals take the necessary actions while serving to maintain an effective school.

1. School goals are the basis for assessing school effectiveness. Hence, the determination of appropriate goals should lead immediately to the identification of appropriate means of monitoring school performance. The relationships between the demands of adult life, school goals, academic and social programs, student performance, and school norms should be systematically monitored.
2. The 14,000 or so school districts in this country are operated by elected or appointed lay board members. This governance system reflects the fact that public schools are the province of the public. Local interests, beliefs, and values must be the basis for determining school goals and evaluating the effectiveness of schools. Hence, principals should develop communication and participation strategies for ensuring public involvement in the determination of school goals and the evaluation of performance. Such strategies will also provide a check and balance system to minimize the possibility of nonrepresentative governance at the district level.
3. Schools cannot be static organizations. As demographic, political, social, and economic conditions change, so must school goals. Hence, another precondition for effectiveness is the realization that schools reflect changing cultural values. This also implies that we must analyze the degree to which administrative and teaching practices ensure the transmission of attitudes, moral ideals, values, and skills appropriate for the times.
4. Keep your school's public informed. Develop and implement a continuous plan for informing the public of school goals, the value of programs, progress toward goal attainment, and problems encountered. If economic, social, and political dilemmas are affecting the school, involve the school community in dealing with the issues. This will enhance support and ensure that goals, practices, and

resources reflect community needs and desires.

5. Develop the habit of not assuming that schools will be operated and maintained at the present level of funding forever. The literature presents a preponderance of evidence that fiscal, political, and social conditions will have an effect on schools. After all, they are institutions designed to operate on public resources and they are designed to reflect the values of the public.

Each of these suggestions underscores the need for principals to possess the ability to synthesize appropriate goals for school communities. Together, these suggestions are a call to action. They emphasize the necessity for knowledge of national, state, and local variables that affect the determination of school goals, and a series of strategies for enhancing the critical link between school goals and school effectiveness. We cannot hope to be effective if we are pursuing inappropriate goals.

Using Standardized Test Data To Measure School Effectiveness

How valid are standardized tests in determining school effectiveness? The writers argue for a measurement system that recognizes the diversity of schools.

By Robert C. Serow and Henry L. Jackson

Nationally-normed tests of aptitude and ability—once used at the discretion of principals, teachers, and counselors mainly for ability grouping or program placement—are now used for a wider range of purposes.

In particular, standardized exams have become a popular means for determining school effectiveness. Consequently, considerable support exists for the notion that schools whose students score well on these tests are doing a good job, while schools in which students are doing less well are somehow deficient.

Intuitively, this seems to make sense. Standardized tests are objective and afford a well-established basis for assessing academic achievement. As such, they also offer a common metric for comparisons among schools and among districts. Results of yearly testing now receive ample coverage in local and even national media, and how well students fare this year as opposed to last year often helps the public to make up its mind about the quality of teaching and leadership in the schools.

The contention of this article is that standardized testing does not adequately cover the entire domain of school effectiveness. In fact, it may not even be the most important indicator of what goes on in the schools. Certainly, educational philosophies, goals, and objectives speak to outcomes other than improved test scores. From this perspective, effective schools should be identified on the

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basis of how well they meet the emotional, social, physical, as well as academic needs of individual students.

What Tests Do and Don't Tell Us

Standardized tests are usually thought to be reliable sources of accurate information about students' academic aptitudes and achievements. In some cases, they serve this purpose quite well. However, the information they provide goes well beyond that.

First, scores strongly reflect students' own social and economic circumstances. It is by now well established that family background accounts for far more of the variation in standardized test performance than do any identifiable school characteristics.[1] Realistically, then, gross school-by-school comparisons of achievement permit us to infer more about the socioeconomic levels of student bodies than about the strength of instructional efforts, curriculum, leadership, or climate within schools.

Another student trait that is reflected on achievement tests is intelligence or I.Q.—so much so, in fact, that some observers are calling for the elimination of the traditional distinction between aptitude and achievement tests. Apparently, the science of testing is still unable to distinguish empirically between what students have learned in subject areas and their overall intellectual potential.[2]

1. James Coleman et al., *Equality of Educational Opportunity* (Washington, D.C.: U.S. Government Printing Office, 1966); Christopher Jencks et al., *Inequality* (New York: Basic Books, 1972).
2. Christopher Jencks and James Crouse, "Should We Relabel the SAT . . . or Replace It?" *Phi Delta Kappan*, June 1982.

It is also worth emphasizing that most standardized tests are not designed to measure school effectiveness. Instead, they are norm-referenced and match a student's performance against that of all other individuals taking the exam. To do so, test-makers seek to maximize differences among test-takers, spreading out scores to conform to a statistically normal distribution. If everyone had the same number of correct answers, or nearly so, then percentiles, stanines, and other familiar indicators of performance would be meaningless.

Apparently, the science of testing is still unable to distinguish empirically between what students have learned in subject areas and their overall intellectual potential.

Accordingly, changes in a percentile score measure fluctuations in a student's relative standing vis-à-vis the norm, and not necessarily any gains or losses in actual knowledge or skill. For instance, because most scores are by design clustered at the middle of a distribution, a gain of a few additional correct answers could result in a substantial percentile gain for an average student, while the same absolute improvement among very high or very low scorers would not affect the percentile nearly as much.

Of course, not all standardized exams are norm-referenced. In recent years, criterion-referenced tests have become popular as a means of assessing pupils' absolute mastery of subject matter. An exact standard of performance is set,

and what matters is whether that level is achieved, and not how well or how badly the student stacks up against a comparison group. If we're primarily interested in determining how much students actually know about a particular subject, then criterion-referenced tests might be preferable to those that are norm-referenced.

Yet, when used to assess school effectiveness, criterion-referenced exams are not without limitations. For example, minimum competency testing (MCT) has emerged as one of the most important forms of criterion testing, with MCT programs on the books in most states. In the recent national adversary hearings on competency testing, both sides agreed that the MCT should not be used to make judgments about the quality of school programs, to allocate educational resources, or to evaluate teachers.

The principle here is that there are too many confounding influences in both the school and in the students' own lines to permit any direct linkage between their test scores and the effectiveness of the instruction they received. What is needed is a much clearer and more comprehensive knowledge of aptitude-treatment interactions—that is, the match between various pupil traits and teaching methods.

Unless a test is specifically targeted to a given body of subject content that is actually taught in the schools, it lacks what the courts describe as curricular validity. Standardized tests, both norm and criterion-referenced, are usually intended for widest possible distribution. Since the U.S. does not have a national educational system, the material covered in courses in any given subject and at any given grade level will vary considerably between states and even, to a lesser degree, between school districts. Thus, a standardized test is not likely to reflect fully and directly the instructional program within a particular school.

If we're primarily interested in determining how much students actually know about a particular subject, then criterion-referenced tests might be preferable to those that are norm-referenced.

An alternative measure of school effectiveness that has been proposed by Madaus, Kellaghan, Rakow, and King is the curriculum-based exam. Unlike the more general standardized tests, the content of these exams derives entirely from what is taught in a particular course.

In comparing curriculum and standardized tests as measures of the effectiveness of Irish schools, the Madaus group found that the former were more sensitive to school effects and were more likely to reflect the influence of the classroom than the influence of students' I.Q. In contrast, I.Q. was the most powerful predictor of scores on two of the three standardized tests.[3]

Insofar as curriculum-based, criterion-referenced tests offer high lev-

3. George F. Madaus, Thomas Kellaghan, Ernest A. Rakow, and Denis J. King, "The Sensitivity of Measures of School Effectiveness," *Harvard Educational Review* 49 (1979): 207-230.

els of curricular validity and clearer absolute indications of individual mastery, they would appear to be preferable to the nationally-normed standardized exams as indicators of school effectiveness. However, there is a growing conviction among educators that even those tests should be used for carefully limited purposes.

A rapidly emerging body of research supports the belief that schools can be made effective for all students irrespective of backgrounds.

For example, the National Academy of Education has suggested that competency exams (including those designed for one state or district) should be used mainly for remediation of academic deficiencies, rather than as a basis for awarding the high school diploma. The members of the Academy, as well as other observers, feel that scientific understanding of the teaching and learning processes has not yet developed to the point that tests can be used as the sole basis for allocating responsibility for academic success or failure.

The general point then is that there are so many gaps both between what is taught and what is learned and between what is learned and what is shown on an exam that tests of academic achievement should be used as only one measure of the effectiveness of schooling.

Academic Achievement: Is That All There Is?

A rapidly emerging body of research supports the belief that schools can be made effective for all students irrespective of backgrounds. While much of this literature focuses on short-term academic productivity, some of it points to longer-range measures of effectiveness.

A finding common to both approaches is the importance of school climate, which includes but is not limited to careful, frequent evaluation of student progress, a high degree of flexible, heterogeneous instruction, strong instructional leadership by the principal, and perhaps most important of all, the setting of high standards and expectations for students.[4]

Students who feel good not only about themselves and their potential, but also about the school and others in it, are more likely to demonstrate the characteristics that lead to success in school and beyond.

In this light, it is important to recall that academic achievement is but one of many goals of education. How effective would a school be in the eyes of the public if it emphasized reading, math, and other cognitive skills to the exclusion of the subtler but very real outcomes that also form a part of the schools' mission?

Although the non-cognitive domain seldom receives priority in the day-to-day operations of the schools, it nonetheless has long been recognized as a vital component of American education. For over a hundred years, educators have explicitly recognized the schools' responsibility to mold and shape a citi-

4. See, for example, Ronald Edmonds, "Some Schools Work and More Can," *Social Policy* 9 (1979): 28-32; Thomas Sowell, "Patterns of Black Excellence," *The Public Interest* 43 (1976): 26-58.

zenry that can participate effectively in a democratic political system and an industrial-based economy.

Although the non-cognitive domain seldom receives priority in the day-to-day operations of the schools, it nonetheless has long been recognized as a vital component of American education.

In 1918, for example, the Committee on the Reorganization of Secondary Education issued its famous Cardinal Principles of Education, which held that fostering democratic citizenship should be a primary goal not only of social studies, but of all courses and of the schooling process in general.[5]

Recently, these much overlooked non-cognitive outcomes have begun to receive renewed attention. The so-called Coleman II report on public and private schools, sponsored by the National Center for Educational Statistics, focused much of its interest on the "quality of life" within the nation's schools, including factors such as discipline and safety.[6]

Current indications are that the non-academic side of schooling will continue to increase in importance. Geographic mobility, working parents, the high divorce rate, and countless other social trends have meant, in effect, that schools are responsible for a greater share of child socialization than ever before. Much of what they are now teaching, from the norms of bureaucracy to the basic tenets of harmonious intergroup relations, are not easily measured.[7]

Beyond this hidden curriculum, social reforms of the past two decades have created the expectation that schools will be directly responsive to community input. Schools that operate in isolation from the life around them, no matter how successful in boosting test scores, are not likely to be viewed as effective by the communities that they are expected to serve.

Conclusion

Schools that provide tangible indications of student worth and schools that encourage emotional, physical, social, as well as academic growth are, by any reasonable judgment, more effective than schools that simply receive students, process them, and send them on their way. The problem with some of the current thinking concerning educational effectiveness is that it absolves schools from much of their responsibility for the full range of student outcomes. It suggests that students are raw materials of varying quality, that there is a uniform production process, and that

5. U.S. Bureau of Education, *Cardinal Principles of Secondary Education*, Bulletin No. 35 (Washington, D.C.: Department of the Interior, 1918), reprinted in F. Roubinger, et al., eds., *The Development of Secondary Education*, (London: Macmillan, 1969).

6. James Coleman, Sally Kilgore, and Thomas Hoffer, "Public and Private Schools." Draft report to the National Center for Educational Statistics (Washington, D.C.: Educational Resources Information Center, 1981).

7. For examples of the sociological components of the hidden curriculum see Robert C. Serow, *Schooling for Social Diversity* (New York: Teachers College Press, 1983).

any difference in outcome is solely and directly attributable to the quality of the raw materials.

Excessive reliance on standardized tests fosters this way of thinking by judging students on a narrow range of capabilities, encouraging relatively uniform methods, and emphasizing one set of outputs to the exclusion of all others.

One lesson to be learned from the school effectiveness literature is that educational measurement should be as comprehensive as the tasks that schools perform. What goes on during the processing period appears to be critical.

In effective schools, the processing is student-specific, and builds upon a baseline of instructional and guidance approaches. Students of differing abilities receive differing and appropriate treatment above the baseline. This specific, unequal, and positive treatment is what seems to make the difference in helping pupils achieve in an effective school.

What is needed, therefore, is a measurement system equal to the complexity and diversity of school life. The danger is that our increasing reliance on standardized tests will make us less mindful of this diversity, and persuade us that there is only one real set of valued outcomes and only one way of attaining them.

The problem with some of the current thinking concerning educational effectiveness is that it absolves schools from much of their responsibility for the full range of student outcomes.

How Principals Can Strengthen School Performance

Joseph F. Rogus

The research efforts on effective schools have been extensive, states this writer, who presents a checklist that principals can easily use to help improve their schools.

What makes for effective schools? The research on this question addresses a broad set of concerns ranging from the characteristics of principals in effective schools to the essential attributes of effective instruction. What is lacking, however, is a synthesis of the findings presented in such a way that they can be used by principals in working with faculties toward strengthening school performance.

This article presents such a synthesis in the form of a checklist to allow for immediate utility. Following the checklist are suggestions for how the instrument might be used at the building level toward the promotion of school improvement.

Limitations to Reported Findings

Before presenting the checklist, two limitations within the research examined need to be described.

First, in most "school effectiveness" studies, *effectiveness* is defined in good part by performance on standardized tests. This is understandable, as skill

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Research on Effective Schooling:
A Self-Check for Principal and Teachers

Read each item. Circle the number which best describes your assessment of staff performance on each item.

I *Principal Behavior*	Disagree Strongly	Disagree	Agree	Agree Strongly
A. In our building, the principal and administrative staff ensure that:				
1. School goals and objectives for the year are clearly stated.	1	2	3	4
2. Consensus is developed among faculty around school goals and behavior expectations.	1	2	3	4
3. Progress toward school goals is closely monitored.	1	2	3	4
4. Teacher performance is frequently monitored and performance feedback is provided teachers regularly.	1	2	3	4
5. The building environment is orderly and quiet without being repressive.	1	2	3	4
6. Departments are vital subgroups.	1	2	3	4
7. Support is provided for staff in-service programs.	1	2	3	4
8. Time is available for teachers to plan together.	1	2	3	4
B. In our building, the principal and administrative staff:				
9. Establish high expectancies for teacher and student performance.	1	2	3	4
10. Are strongly involved with the instructional program.	1	2	3	4
11. Know what is happening in the classrooms.	1	2	3	4
12. Assume personal responsibility for the school's achieving its objectives.	1	2	3	4
II *Teacher Behavior*				
Teachers in our building:				
1. Believe that students can achieve.	1	2	3	4
2. Set high expectancies for students.	1	2	3	4
3. Emphasize the importance of cognitive outcomes in their planning and instruction.	1	2	3	4
4. Assume personal responsibility for students' achieving course outcomes.	1	2	3	4
5. Hold students accountable for their work.	1	2	3	4

6. Monitor student progress closely.	1	2	3	4
7. Maintain regular communication with parents.	1	2	3	4
8. Enforce school standards in the classroom, in hallways, and on school grounds.	1	2	3	4
9. Show a positive attitude toward learning.	1	2	3	4
10. Demonstrate effective organization and planning for instruction.	1	2	3	4
11. Stress reward rather than punishment in interacting with students.	1	2	3	4
III *Curriculum and Instruction*				
In classrooms throughout our building:				
1. Clearly stated instructional outcomes are set for students.	1	2	3	4
2. Direct instruction is most commonly employed in skill teaching.	1	2	3	4
3. Testing for diagnostic purposes is common.	1	2	3	4
4. Class time lost during transition periods of confusion, and disruptions requiring disciplinary action are minimal.	1	2	3	4
5. Student time-on-task is clearly monitored.	1	2	3	4
6. Students experience a high success rate in their daily work.	1	2	3	4
7. An extensive pro-social cocurricular program exists.	1	2	3	4
8. Rewards for program excellence are evenly distributed.	1	2	3	4
9. Students experiencing difficulty are identified and provided assistance.	1	2	3	4
10. Students are involved in their own learning.	1	2	3	4

performance and knowledge to the level of application is more easily assessed than are more abstract cognitive, affective, or social outcomes. Virtually no professional would, however, define school effectiveness simply in terms of student performance on measures of these limited outcomes.

Therefore, one limitation of the reported findings on school effectiveness is that they have validity only in relation to the limited objectives measured; whether the findings are valid in relation to other cognitive, as well as affective and psychomotor goals, is conjecture.

Second, correlational data is the basis for many of the school effectiveness findings. Several of the characteristics have been generated from descriptive studies of high achieving schools. The presence of these characteristics does not in itself imply causation. While fu-

ture research may show an unquestioned causal relationship between the noted characteristics and measures of school effectiveness, the best that can be said at present is that *effective schools, defined in terms of student performance on limited though important outcomes, are characterized by the presence of the factors noted in the checklist.*

Several of the findings reported here are gleaned from studies of elementary school environments. While logically the findings cited appear generalizable to the secondary school setting, they are in need of further empirical support before they can be accepted without question.

These limitations are presented not to denigrate the value of the findings but to create a perspective within which the findings should be considered. In one sense, the research on school effectiveness that serves as the basis for the checklist constitutes the most significant educational research of our time in that the findings provide direction for immediate action and concurrently stimulate dialog and additional research. This research offers greater certainty on the important question of how to define secondary school effectiveness.

In reviewing the findings presented, the reader might observe that several of the findings are "common sense." While this may be somewhat true, it is important to note that several "conventional wisdoms" have not been found to be associated with effectiveness.

Checklist Contents

Within the checklist, items are presented under the categories: principal behavior, teacher behavior, and instruction and curriculum. The overall thrust of the findings centers on the concepts of leadership, expectations, and communication; these threads are identifiable irrespective of category.

The findings of the major research have implications for school assessment and improvement efforts. Here's a summary.

The Principal Behavior. Principals in effective schools see that school goals are clearly stated (Brookover, 1976; Brookover and Lezotte, 1979; Shoemaker and Fraser, 1981), develop consensus around both school goals and behavior expectations (Duckett et al., 1980), and assume responsibility for the achievement of the stated goals (Edmunds, 1979; Weber, 1971; Austin, 1978).

They set high expectancies for teachers and students (Edmunds, 1979; Guditis and Zirkel, 1979; Weber, 1971; Venezky, 1980), monitor student and teacher progress (Brookover, 1976; Brookover and Lezotte, 1979; Caulson, 1977; Edmunds, 1979), assure an orderly but nonrepressive building environment (Weber, 1971; Brookover, 1976; Coleman, 1981), are strongly involved with and knowledgeable of the instructional program (Austin, 1978; Caulson, 1977; Brookover and Lezotte, 1979), and are perceived by staff as being knowledgeable, effective managers (Guditis and Zirkel, 1979).

Furthermore, departments are vital subgroups involved in program evaluation and development (Wynne, 1981); support is provided for staff inservice programs; and time is made available for teachers to plan together (Rutter et al., 1979.).

TEACHER BEHAVIOR. Teachers in effective schools believe that students can achieve (Brookover, 1976; Brookover and Lezotte, 1979), set high expectancies for them (Weber, 1971; Brookover and Lezotte, 1979; Venezky, 1980; Duckett et al., 1980), and emphasize the importance of cognitive outcomes (Brophy, 1979; Bloom, 1980; Powell, 1979; Austin, 1978).

They assume responsibility for student achievement (Brookover, 1976; Brookover and Lezotte, 1979), monitor student progress closely (Bloom, 1980; Fisher, 1979; Brookover, 1976), maintain regular communication with parents (State of New York Performance Review, 1974), and enforce school standards in the classrooms, in hallways, and on school grounds (Edmunds, 1979; Wynne, 1981).

Teachers further show a positive attitude toward learning, are well organized for instruction, and stress rewards rather than punishment in interacting with students (Rutter et al., 1979).

INSTRUCTION AND CURRICULUM. Classroom instruction in effective schools is defined by several characteristics: clear instructional outcomes are set for students (Brophy, 1979; Wynne, 1981); direct instruction is the most common strategy employed in skill teaching (Bloom, 1980; Brophy, 1979; Brookover and Lezotte, 1979); testing for diagnostic purposes is common (Bloom, 1980; Fisher, 1979); class time lost during transition periods of confusion, and disruptions requiring disciplinary action are minimal (Brophy, 1979; Powell, 1979); student time-on-task is closely monitored (Bloom, 1980; Brickell, 1980; Brophy, 1979; Powell, 1979); homework is required (Coleman, 1981; Rutter et al., 1979); and students experience a high success rate in their daily work (Bloom, 1980; Fisher, 1979).

Furthermore, within effective secondary schools, rewards for program excellence are evenly distributed; an extensive cocurricular program emphasizing cooperation and mutual helping is available and working; students experiencing difficulties are provided assistance (Wynne, 1981); students are involved in their own learning; and they believe they will complete their programs effectively (Rutter et al., 1979).

Using Checklist and Derived Data

The checklist can be used in several ways, ranging from directive to participative approaches. The appropriate approach with a given staff depends on staff maturity, time constraints, perception of task importance, and other situational factors. However, as a general principle, the more participative the approach the better, as willingness to follow a direction is usually associated with participating in the planning of that direction.

Several options for checklist use on a directive-participative continuum include:

1 The principal and members of the administrative staff might complete the instrument as the first step of a needs assessment. On items checked "disagree" or "disagree strongly," data would then need to be collected toward validating the initial observations. This step is important. On an item such as "students experience a high success rate in their daily work," for example, an administrator might initially assess staff performance as less

than desirable, 1 or 2. The perception may or may not be valid. It is valid if all classrooms have been visited and few instances of student success have been observed. On the other hand, if the observation is based on a limited number of classroom observations, it needs to be checked thoroughly. Once "hypotheses" have been checked and changes are made in the initial assessments as appropriate, building/personal goals for the year can be set in areas where performance is less than desirable. These personal goals could then be shared with staff for the purpose of selling them on their importance or for obtaining their feedback before goals are finalized.

2 While completing the instrument, the administrative staff might ask the teacher advisory committee or its equivalent of all faculty to do likewise. Administration might well be handled through departments. A comparison of responses could then be made. Items assessed with disagreement, (1 or 2) by administrative staff, which received a mean committee or faculty response of less than 3, might constitute appropriate foci for cooperative school goal-setting efforts.

3 Instrument sections could be used with faculty to promote discussion on their contents. These discussions could, in turn, serve as step one in the goal-setting process. The "principal behavior" section, for example, could be completed by principal, administrative staff, and faculty. Items wherein discrepancy between principal self-perception and mean faculty response is greater than 1 could serve as a focus for faculty dialog. After dialog, performance areas assessed by all as in need of attention could be pinpointed and goals cooperatively set in those areas.

4 A variation on the last approach would be to involve an outside observer in visiting and assessing school-wide performance on the items within the checklist. The outside assessments on each item could be charted along with administrator and faculty assessments. Where all three sets of observations are congruent, no need for further data gathering exists. Where assessments are commonly low, goal setting could follow. Where two sets of observations are basically in agreement, those agreeing might share their thinking with the disagreeing third party, who might then seek additional data and reconsider the initial observation. If after data collection, the disagreeing party's observation changes to become congruent with other party observations, and if the common observations are at the less than desired level, goal setting could follow. If the initial observation is maintained, the item could be put on hold while energy is focused on areas of agreement.

The strategies noted are simply suggestive. Other uses of the instrument could and doubtless should be generated. The important point with respect to use of the checklist is that the greater the administration-faculty dialog on the checklist contents, the greater the likelihood of the staff's agreeing on areas needing attention and then planning school objectives and means to achieve the desired outcomes.

Agreement is essential to ownership. With ownership of a common set of improvement goals, the power of teachers to behave in ways that offer promise of

improving the quality of life for youngsters becomes enormous. Processing with faculty on the contents of the checklist is time consuming, but the time investment is small compared with the payoff which could well occur.

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A Research Review—Perceptions on Characteristics of Effective Schools

After reviewing the literature to determine which characteristics of effective schools should be the dominant feature of any local school environment, this educator has identified 18 major characteristics that are important determinants of academic excellence.

By Carmelo V. Sapone

Most authorities support the thesis that an effective and successful school is one in which the major focus of the principal's activities are directed toward achieving desirable instructional ends.

This writer's research on principal and school effectiveness has been expanded and reinforced by research on teacher success. Brophy (1974), Good and Grouws (1979), and Rosenshine (1978), for example, have identified teacher behavior and classroom characteristics that may relate to increased student achievement.

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Sweeney (1981) has identified the importance of effective school/principal leadership. Other efforts to translate research findings into viable action programs are beginning to emerge. Brookover (1982), for example, has designed a set of inservice modules for enhancing school learning climate which may correlate with student achievement. One of the most powerful and important pamphlets published is NASSP's *The Effective Principal* (1982), a research summary on what makes for an effective principal.

In spite of all the major research findings available on effective and successful schools, principals find themselves in a major dilemma, since most

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research has not been integrated and synthesized for practical use in local school situations. This article is one attempt to reconcile this dilemma.

. . . principals find themselves in a major dilemma, since most research has not been integrated and synthesized for practical use in local school situations.

Educators Surveyed

This writer asked 347 teachers, 192 administrators (mostly principals and vice principals in Western New York and Ontario, Canada), 104 superintendents, and 105 school board members to respond to a questionnaire which contained a list of the 18 major characteristics associated with effective schools. These respondents were asked to indicate whether each characteristic should ideally be included in the local school. The same respondents were asked to indicate whether each component was realistic as far as actual implementation in the local school.

One of the most important findings of this investigation is the almost universal agreement of the need for schools to have a strong principal. This finding gives credence to the important leadership role that the principal must provide as he strives to merge the necessary links between the management and leadership of the school and the learning that is associated with that performance.

The need for strong principal leadership is further reinforced in that most of the respondents perceived this leadership to be highly correlated with staff morale. It is interesting to note that all four groups stress these two characteristics as the most important of all the characteristics identified in the literature. It appears that all else will follow, given the implementation of these first two variables.

Another salient finding of this study (using an uncorrelated "t" test) was that in all cases, the average score (mean) of the "ideal" was rated higher than the average score of the "realistic" by all four groups.

This finding would seem to indicate that an ideal effective and successful school is probably not within the reach of most school systems until the discrepancy between the ideal and actual approaches zero.

Additional findings show that teachers and administrators—ideally, differ significantly on only one characteristic—what constitutes a viable and productive inservice growth plan.

This difference is probably related more to the negotiations process rather than the professional growth of each staff member—since in most school systems monies are associated to credit hours gained.

However, the data show a different picture when teachers are compared with school superintendents. Teachers and superintendents differ significantly on 6 of the 18 characteristics. Most of these deal with high staff morale, a healthy and productive school climate, and emphasis on shared decision making.

Teachers differ, significantly and ideally, from school board members on six of the eighteen characteristics. Realistically, teachers and school boards differ on only three characteristics. This

Rankings of School Board Members, Superintendents, Principals, and Teachers

Components	School Board Members		Superintendents		Administrators		Teachers	
	Ideal	*Realistic*	*Ideal*	*Realistic*	*Ideal*	*Realistic*	*Ideal*	*Realistic*
1. Strong Administrative/Principal Leadership	1	1	1	1	3	1	2	2
2. High Positive School Community Relationships	4	5	2	9	4	8	8	14
3. Establishment of High Performance Standards for Staff and Students	2	3.5	3	3	6	4	10	7
4. Administrative/Staff/Student Involvement in the Goal Setting Process	10.5	16	14	15.5	12	16	11	17
5. Open Communication System	6.5	2	7	7	8	5	3	5
6. Ongoing Professional/Inservice Growth Plan	12.5	12.5	10	14	13	14	6	11
7. Strong Extracurricular Program for All Students	14	11	13	11	17.5	15	17	13
8. Effective Supervision/Appraisal and Evaluation Plan in Operation	5	7	5.5	3	10	11	9	9
9. High Staff Morale	3	6	5.5	3	1	2	1	1
10. Comprehensive Curricular Programs in Operation	9	8.5	9	5	9	9	12	6
11. Continued Program/Curricular Evaluation	10.5	8.5	12	10	14	10	15	10
12. Democratic Decision-Making Process	18	17	15	15.5	16	17	14	16
13. Administrative/Teacher Support Systems in Place	15.5	14	16	12.5	7	7	7	8
14. Utilization of Appropriate Instructional Technologies	12.5	12.5	4	6	11	12	16	12
15. Increased Parental Involvement in Schools	15.5	18	8	17	17.5	18	18	18
16. Open and Healthy School Climate	6.5	3.5	11	9	2	3	4	4
17. Staff Is in Control of Their Own School Environment	17	15	18	18	15	13	13	15
18. Humanism Principles in Operation in Total School	8	10	17	12.5	5	6	5	3

almost uniform agreement realistically is somewhat surprising since it is presumed that the distance between school board members and teachers is generally large. This perception, in fact, may not be true, since most items that affect teachers' expectations become part of the negotiation process and are usually resolved at that level.

One area of major concern is the differences in perception, ideally, of principals and superintendents. They differ significantly on six characteristics. This finding becomes extremely important when it is noted that superintendents also differ significantly from teachers ideally in at least six areas. This perceptual difference places the principal in a conflict situation where no one group really emerges as a viable part of a cooperative team. Realistically, this problem becomes even more acute since principals and superintendents differ in seven areas.

What Superintendents Should Do

If principals are to be successful and to be recognized as the school leader, as the research evidence suggests, then the school superintendent must provide a comprehensive plan in which the principal has been granted a meaningful role. This comprehensive plan must reflect the unified efforts of all involved in the educational process.

The superintendent must also allow the principal the following opportunities that research suggests are critical to effective leadership and effective schools:

1. The time to work closely with others in a goal planning model.
2. The opportunity to manage conflict and change with higher administrative support.
3. The time to integrate a cluster of demands competing for the time and attention of the school principal.
4. Shared responsibility to plan and execute decisions that affect human, social, and environmental conditions.
5. Encouragement to formulate action plans with teachers and parents in dealing with a fluid school system.
6. Help for principals to integrate new knowledge regarding effective educational and managerial practices.

When superintendents' ratings are compared with those of school board members, they differ ideally on five major characteristics. These differences may be due to lack of school board members' understanding of the democratic decision-making process; the role of parents in the school; and the advance of new technologies. These groups differ realistically in four areas. These differences may reflect, on the part of the board, a lack of understanding and responsibility of their elected role. If these differences are not resolved, the consequences can have a negative impact on all those involved in the educational system.

Because superintendents and school board members differ so significantly from principals on major characteristics that make for effective and successful schools, the following should be considered by all involved in improving schools:

- Board members need inservice training on what major characteristics result in effective and successful schools.
- Board members, the superintendent, and the administrative staff must arrive at some procedure for consensus as to which

characteristics need to be implemented on a district priority basis. (This must be done using a shared decision-making model.)

- Board members, through their chief executive officer, must develop and implement a plan of action to achieve both ideal and realistic ends.
- Principals must be given more opportunity to develop, implement, and evaluate the attainment of stated goals and common educational objectives.
- Principals and teachers need work in understanding the research on effective and successful schools.
- The principalship must be recognized as perhaps the most important position in implementing effective and lasting change.

If, as this investigation suggests, the principal is the backbone and the focus of good schools, then this evidence should be recognized and the principal given the support and authority that he or she deserves.

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